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SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE
Fourteenth session
Bonn, 16-27 July 2001
Item 2 (a) of the provisional agenda

PROVISIONAL AGENDA AND ANNOTATIONS

Note by the Executive Secretary

I. INTRODUCTION

1. Arrangements have been made for the fourteenth session of the Subsidiary Body for Scientific and Technological Advice (SBSTA) to be held at the Hotel Maritim, Bonn, Germany in the period from 16 to 27 July 2001. The SBSTA session is scheduled to be opened by the Chairman at 4 p.m. on Monday, 16 July. Most of the work of the session will be done on 16 and 17 July, before the formal resumption of the sixth session of the Conference of the Parties (COP 6, part two) on 18 July. Outstanding business will be taken up in the week of 23 July.

2. To allow delegations to focus on the important political tasks of the resumed COP 6, the provisional agenda for the fourteenth session of the SBSTA has been kept to a minimum. It includes progress reports on activities since the thirteenth session of the SBSTA. Most substantive items have been left for consideration at the fifteenth session of the SBSTA. However, provision has also been made for the SBSTA to take up any items referred to it by the Conference of the Parties at the second part of its sixth session.

3. Parties may wish to note that the Intergovernmental Panel on Climate Change (IPCC) will brief delegates on the Third Assessment Report during the first week of the session.

II. PROVISIONAL AGENDA

4. The provisional agenda for the fourteenth session of the SBSTA, proposed after consultation with the Chairman, is as follows:

1. Opening of the session.

2. Organizational matters:

(a) Adoption of the agenda;

(b) Organization of the work of the session;

(c) Election of officers other than the Chairman.

3. Reports on inter-sessional activities:

(a) Emissions resulting from fuel used in international transportation;

(b) Methods and tools to evaluate impacts and adaptation;

(c) Issues related to emissions from forest harvesting and wood products;

(d) Progress related to a technology information system;

(e) Article 6 of the Convention: Education, training and public awareness.

4. Scientific and methodological aspects of the proposal by Brazil.

5. "Best practices" in policies and measures among Parties included in Annex I to the Convention.

6. Cooperation with relevant international organizations.

7. Any matters referred by the Conference of the Parties to the Subsidiary Body for Scientific and Technological Advice.

8. Report on the session.

III. ANNOTATIONS TO THE PROVISIONAL AGENDA

1. Opening of the session

5. The fourteenth session of the SBSTA is scheduled to be opened by the Chairman at 4 p.m. on Monday, 16 July 2001.

2. Organizational matters

(a) Adoption of the agenda

6. The provisional agenda for the fourteenth session of the SBSTA will be presented for adoption.

(b) Organization of the work of the session

7. Parties are invited to refer to the annotated agenda of the COP for information on the general schedule. Parties may further wish to consult the Daily Programme, published prior to and during the session, for a more detailed and updated schedule of work of the SBSTA.

(c) Election of officers

8. Pursuant to Rule 27 of the draft rules of procedure being applied, the SBSTA is expected to elect its own Vice-Chairman and Rapporteur. The Chairman of the SBSTA will undertake consultations with the Coordinators of the regional groups with a view to electing the other officers. Early agreement on the nominations by the regional groups will enable the SBSTA to elect the remaining officers and to continue its substantive work in an efficient manner. The current officers of the SBSTA will remain in office until their successors are elected. Parties may wish to take note of the election of the current Rapporteur of the SBSTA to the Bureau of COP 6.

3. Reports on inter-sessional activities

9. The Chairman of the SBSTA or the secretariat, as appropriate, will provide information on the activities below. In view of the limited time at this session, it is suggested that discussion of these take place at the fifteenth session of the SBSTA in Marrakesh.

(a) Emissions resulting from fuel used in international transportation

10. **Background:** Article 2.2 of the Kyoto Protocol states that the Parties included in Annex I shall pursue the limitation or reduction of emissions of greenhouse gases not controlled by the Montreal Protocol from aviation and marine bunker fuels, working through the International Civil Aviation Organization (ICAO) and the International Maritime Organization (IMO), respectively.

11. At the eleventh session, the SBSTA stressed the need to enhance further the cooperation between ICAO, IMO and UNFCCC, and invited ICAO and IMO to continue to provide the SBSTA with regular progress reports (FCCC/SBSTA/1999/14, para. 56 (a)).

12. **Action:** The SBSTA may wish to take note of information provided by the secretariat as contained in document FCCC/SBSTA/2001/INF.1 and any further information that may be provided by ICAO and IMO at the session.

(b) Methods and tools to evaluate impacts and adaptation

13. **Background:** At the first part of its thirteenth session, the SBSTA requested the secretariat to organize a workshop with participation of experts from the IPCC and the user community, after acceptance of the IPCC Third Assessment Report. The workshop should explore:

(a) The experience of developing countries in applying current impact and adaptation methodologies and their emerging needs;

(b) The current state of the art of methods identified in the IPCC Third Assessment Report, and how these apply to the specific circumstances of developing countries;

(c) Options for improving the quality and dissemination of information on impact and adaptation methodologies.

14. At the same session, the SBSTA invited Parties to actively participate in, and provide support for, the workshop, and invited the secretariat to provide information on the results of the workshop at its fourteenth session (FCCC/SBSTA/2000/10, para. 47).

15. In response to the above request the secretariat has organized a workshop from 11 to 14 June 2001 at St. Adèle, Canada. The workshop will be conducted back-to-back with a UNDP-GEF technical workshop and in cooperation with Environment Canada. Information related to the workshop can be found on the UNFCCC web site.[1] Due to the short time available between the workshop and the fourteenth session of the SBSTA, information on the workshop will be made available only during the session in document FCCC/SBSTA/2001/INF.4.

16. **Action:** The SBSTA may wish to take note of information provided by the secretariat as contained in document FCCC/SBSTA/2001/INF.4. The SBSTA may wish to invite submissions from Parties on the issues identified in the report for consideration at its fifteenth session.

(c) Issues related to emissions from forest harvesting and wood products

17. **Background:** The SBSTA, at its eleventh session, invited Parties to submit, by 15 March 2001, their views on approaches for estimating and accounting for emissions of carbon dioxide from forest harvesting and wood products, taking into account the report of the IPCC meeting of experts on that subject held in Dakar, Senegal, from 5 to 6 May 1998, for compilation into a miscellaneous document and consideration by the SBSTA at its fourteenth session (FCCC/SBSTA/1999/14, para. 69).

18. The secretariat received ten such submissions which are contained in document FCCC/SBSTA/2001/MISC.1. A workshop on this issue was organized by the Government of New Zealand from 12 to 16 February in Rotorua, New Zealand.

19. **Action:** The SBSTA may wish to take note of information contained in document FCCC/SBSTA/2001/MISC.1 and determine, at the fifteenth session of the SBSTA, what additional activities, if any, should be undertaken.

(d) Progress related to a technology information system

20. **Background:** At its first session, the Conference of the Parties requested the secretariat to collect information from relevant sources from, *inter alia*, the Commission on Sustainable Development, United Nations agencies, the IPCC and the SBSTA, and to prepare an inventory and assessment of environmentally sound and economically viable technologies and know-how conducive to mitigating, and adapting to, climate change (FCCC/CP/1995/7/Add.1, decision 13/CP.1, para. 1 (b)). At the same session, the COP requested the secretariat to update the above information at regular intervals for consideration by the COP at each of its sessions.

21. At its fourth session, the COP requested the secretariat to continue its work on the synthesis and dissemination of information on environmentally sound technologies and know-how conducive to mitigating, and adapting to, climate change.

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1 www.unfccc.int/sessions/010611/index.html

22. At its twelfth session, the SBSTA took note of the progress made on the development of the technology web pages of the secretariat and on a pilot project on a technology cooperation project inventory, including both mitigation and adaptation technologies. The SBSTA invited the secretariat to make further information available on its web site (FCCC/SBSTA/2000/5, para. 52 (f-g)).

23. In response to the above request, the secretariat has continued its activities related to a technology information system and will present a brief progress report at the session.

24. **Action:** The SBSTA may wish to take note of information provided by the secretariat with a view to providing further guidance on this issue at its fifteenth session.

(e) Article 6 of the Convention: Education, training and public awareness

25. **Background:** The SBSTA, at its twelfth session, requested the secretariat to put Article 6 on the agenda of its fourteenth session and where appropriate at subsequent sessions. It noted that work at the national and international levels has been undertaken by Parties, intergovernmental organizations and non-governmental organizations, and that the lessons learned, including information products, should be compiled and shared, and priority areas identified (FCCC/SBSTA/2000/5, para. 64 (b) and (c)).

26. The secretariat is compiling information provided by Parties for consideration at the fifteenth session of the SBSTA. The information will include a summary of the activities and experiences of Parties and possible future activities. The secretariat will provide a brief report on its activities in this area.

27. **Action:** The SBSTA may wish to take note of information provided by the secretariat.

4. Scientific and methodological aspects of the proposal by Brazil

28. **Background:** The SBSTA, at its eleventh session, took note of the information provided by the delegation of Brazil on its proposal, including a revised version of the methodology originally proposed in document FCCC/AGBM/1997/MISC.1/Add.3. The SBSTA requested the secretariat to coordinate a review of this proposal by experts selected from the roster of experts, drawing also upon experts from the IPCC, to be completed in time for its fourteenth session. It requested the secretariat to make the information provided by the experts available on its Web site (FCCC/SBSTA/1999/14, para. 63).

29. In response to the above mandate, the secretariat organized a meeting of experts in Bonn, Germany, from 28 to 30 May 2001, to identify scientific and methodological aspects of the proposal by Brazil. Information related to the proposal can be found on the UNFCCC Web site.[2]

30. **Action:** The SBSTA may wish to take note of information provided by the Chairman and as contained in document FCCC/SBSTA/2001/INF.2 and to determine what additional activities, if any, should be undertaken.

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[2] http://www.unfccc.int/issues/brazil.html

5. "Best practices" in policies and measures among Parties included in Annex I to the Convention

31. The Conference of the Parties, at the first part of its sixth session, requested the secretariat to organize a workshop on "Good practices in policies and measures among Parties included in Annex I to the Convention", referred to in paragraph 7 of the draft decision[3] on this matter submitted to the Conference by the President (for the conclusions of the COP, see FCCC/CP/2000/5/Add.2, section III.F, para. 9; for the text of the draft decision, see Part Three of the report, FCCC/CP/2000/5/Add.3 (vol. IV)). The COP requested the SBSTA to outline the terms of reference for the workshop at its fourteenth session, based on submissions of Parties, by 31 March 2001.

32. The secretariat received three such submissions which are contained in document FCCC/SBSTA/2001/MISC.2.

33. **Action:** The SBSTA may wish to consider the information contained in document FCCC/SBSTA/2001/MISC.2 with a view to developing the terms of reference for the forthcoming workshop.[4]

6. Cooperation with relevant international organizations

(a) Convention on Biological Diversity

34. **Background:** The Executive Secretary of the Convention on Biological Diversity (CBD) made available a discussion note to the SBSTA at the second part of its thirteenth session on the interaction between climate change and biological diversity.[5] The SBSTA took note of the information and invited Parties to submit views on the discussion note to the secretariat by 1 March 2001. The secretariat received four such submissions which are contained in document FCCC/SBSTA/2001/MISC.3.

35. The Subsidiary Body for Scientific, Technical and Technological Advice (SBSTTA) of the CBD, at its sixth meeting, agreed, among other conclusions, to establish an ad hoc technical expert group to undertake a pilot assessment on issues relating to interaction between climate change and biological diversity. It invited relevant inter-governmental organizations and other relevant organizations, including the UNFCCC, to contribute to this assessment. It further invited the IPCC to contribute by preparing a technical paper and by identifying experts (UNEP/CBD/COP/6/3, paras. 5-9).[6] The SBSTTA urged the Executive Secretary of the CBD, in consultation with the secretariat of the UNFCCC, to explore the formation of a joint liaison group between the Bureau members of the relevant subsidiary bodies of the UNFCCC and the CBD, and their respective secretariats. The complete text of the SBSTTA conclusions and other information is contained in document FCCC/SBSTA/2001/INF.3.

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[3] In the context of this draft decision, the term "good practice" replaces "best practice".

[4] Parties may also wish to refer to FCCC/SBSTA/1999/8, which contains information on the approach to a previous workshop on this subject held in Copenhagen from 11 to 13 April 2000.

[5] UNEP/CBD/SBSTTA/6/11, Annex I.

[6] Recommendation VI/7.

36. **Action**: The SBSTA may wish to take note of information contained in document FCCC/SBSTA/2001/MISC.3 and to provide guidance on issues identified in document FCCC/SBSTA/2001/INF.3.

(b) United Nations Convention to Combat Desertification

37. The secretariat of the UNFCCC and the United Nations Convention to Combat Desertification (UNCCD) are, as far as is feasible, attempting to participate in meetings of relevance to each convention. In this regard, the secretariat of the UNFCCC accepted an invitation from the secretariat of UNCCD to participate in a UNCCD National Forum on Combating Desertification and Synergistic Implementation of Inter-linked Multilateral Environmental Conventions, to be held in Ulan Bator, Mongolia, from 18 to 20 June 2001. The UNCCD secretariat participated at a UNFCCC workshop to develop draft guidelines for national adaptation programmes of action for the least developed countries, held in Kampala, Uganda from 25 to 27 May 2001. Lessons learned from the process of preparation of CCD-National Action Plans (NAPs) were explored in the context of developing national adaptation programmes of action.

(c) Other organizations

38. The secretariat anticipates that other international organizations such as the Global Climate Observing System (GCOS) and the United Nations Food and Agriculture Organization (FAO) may provide brief reports on relevant issues.

39. **Action:** The SBSTA may wish to take note of information provided by other organizations.

7. Any matters referred by the Conference of the Parties to the Subsidiary Body for Scientific and Technological Advice

40. Any matters referred by the COP at the second part of its sixth session to the SBSTA for consideration at its fourteenth session will be taken up under this item.

8. Report on the session

41. The SBSTA may wish to adopt conclusions and authorize the Rapporteur to complete the report after the session under the guidance of the Chairman and with the assistance of the secretariat. Subject to the availability of sufficient time for their translation, conclusions will be made available in all official languages.

42. Parties might wish to note that due to the short period between the fourteenth and the fifteenth session of the SBSTA, there is a likelihood of delay in the availability of some documents in all six official languages of the United Nations prior to the meeting.

Annex I

DOCUMENTS BEFORE THE SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE AT ITS FOURTEENTH SESSION

Documents prepared for the session

FCCC/SBSTA/2000/14	Report of the Subsidiary Body for Scientific and Technological Advice on the second part of its thirteenth session, The Hague, 13-18 November 2000
FCCC/SBSTA/2001/1	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBSTA/2001/INF.1	Reports on inter-sessional activities. Emissions resulting from fuel used for international transportation
FCCC/SBSTA/2001/INF.2	Scientific and methodological aspects of the proposal by Brazil. Report of the workshop
FCCC/SBSTA/2001/INF.3	Cooperation with relevant international organizations. Issues related to the Convention on Biological Diversity
FCCC/SBSTA/2001/INF.4	Reports on inter-sessional activities. UNFCCC/IPCC workshop on impacts and adaptation methodologies
FCCC/SBSTA/2001/MISC.1	Reports on inter-sessional activities. Issues related to emissions from forest harvesting and wood products. Submissions from Parties
FCCC/SBSTA/2001/MISC.2	"Best practices" in policies and measures among Parties included in Annex I to the Convention. Submissions from Parties
FCCC/SBSTA/2001/MISC.3	Cooperation with relevant international organizations. Issues related to the Convention on Biological Diversity. Submissions from Parties

Other documents for the session

FCCC/CP/2000/5 and Adds. 1-3 (vols. I-V)	Report of the Conference of the Parties on the first part of its sixth session, held at The Hague from 13 to 25 November 2000
FCCC/SBSTA/2000/10	Report of the Subsidiary Body for Scientific and Technological Advice on the first part of its thirteenth session, Lyon, 11-15 September 2000
FCCC/TP/2001/1	Comparison of greenhouse gas emission projections

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REPORT OF THE SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE ON ITS FOURTEENTH SESSION BONN, 24-27 JULY 2001

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I. OPENING OF THE SESSION
(Agenda item 1)

1. The fourteenth session of the Subsidiary Body for Scientific and Technological Advice (SBSTA) was held at the Maritim Hotel, Bonn, Germany from 24 to 27 July 2001.

2. The Chairman of the SBSTA, Mr. Harald Dovland (Norway), opened the session on 24 July and welcomed all Parties and observers to the session.

3. The Chairman explained that, in order to allow delegations to focus on the important tasks of the resumed sixth session of the Conference of the Parties (COP), the provisional agenda had been kept to a minimum. It included an item on progress reports on inter-sessional activities undertaken by the secretariat since the thirteenth session of the SBSTA, leaving a number of substantive items not included in the COP agenda for consideration by the SBSTA at its fifteenth session.

4. The Chairman noted that, initially, provision had been made for the SBSTA to take up any items referred to it by the Conference of the Parties at the second part of its sixth session. As no issue had been referred by the COP to the SBSTA, item 7 of the provisional agenda would not be taken up.

5. The Chairman drew the attention of the SBSTA to work to be done under the agenda of the Subsidiary Body for Implementation (SBI) on issues relating to the ongoing review of greenhouse gas inventories from Parties included in Annex I to the Convention, the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention, guidelines for the preparation of national adaptation programmes of action, and matters relating to the budget. He mentioned that aspects of this work may be referred to the SBSTA for consideration in the future. He encouraged representatives of Parties to discuss the budget of the secretariat with their colleagues because the SBSTA often generated work for the secretariat on issues such as greenhouse gas inventories, technology transfer, methodologies and guidelines.

II. ORGANIZATIONAL MATTERS
(Agenda item 2)

A. Adoption of the agenda
(Agenda item 2 (a))

6. At its 1st meeting, on 24 July, the SBSTA considered the provisional agenda contained in document FCCC/SBSTA/2001/1.

7. The SBSTA adopted the following agenda:

1. Opening of the session.
2. Organizational matters:
   (a) Adoption of the agenda;

(b) Organization of the work of the session;

(c) Election of officers other than the Chairman.

3. Reports on inter-sessional activities:

(a) Emissions resulting from fuel used in international transportation;

(b) Methods and tools to evaluate impacts and adaptation;

(c) Issues related to emissions from forest harvesting and wood products;

(d) Progress related to a technology information system;

(e) Article 6 of the Convention: Education, training and public awareness.

4. Scientific and methodological aspects of the proposal by Brazil.

5. "Best practices" in policies and measures among Parties included in Annex I to the Convention.

6. Cooperation with relevant international organizations.

7. Any matters referred by the Conference of the Parties to the Subsidiary Body for Scientific and Technological Advice.

8. Report on the session.

B. Organization of the work of the session
(Agenda item 2 (b))

8. The SBSTA considered this sub-item at its 1st meeting, on 24 July. It had before it document FCCC/SBSTA/2001/1. At the same meeting, Parties were provided with an update on the status of documentation and the suggested schedule of work.

C. Election of officers other than the Chairman
(Agenda item 2 (c))

1. Proceedings

9. The SBSTA considered this sub-item at its 1st and 3rd meetings, on 24 and 27 July respectively. It had before it document FCCC/SBSTA/2001/1.

10. At the 1st meeting, the Chairman informed the SBSTA that, according to rule 27 of the draft rules of procedure being applied, the SBSTA was expected to elect its Vice-Chairman and Rapporteur. At the same meeting, the Chairman stated that he had held consultations with the coordinators of the regional groups, with a view to receiving nominations for the vacant positions of the SBSTA.

11. At the 3rd meeting, on 27 July, the Chairman indicated that he had not completed his consultations and he would need to consult further on this matter.

2. Conclusions

12. At its 3rd meeting, on 27 July, the SBSTA invited the Chairman to continue consultations on the election of the other officers of the SBSTA with a view to the election being completed during the seventh session of the Conference of the Parties. It requested the current officers of the SBSTA to continue in office until their successors were elected.

III. REPORTS ON INTER-SESSIONAL ACTIVITIES
(Agenda item 3)

A. Emissions resulting from fuel used in international transportation
(Agenda item 3 (a))

1. Proceedings

13. The SBSTA considered this sub-item at its 2nd and 3rd meetings, on 24 and 27 July respectively. It had before it document FCCC/SBSTA/2001/INF.1.

14. A statement was made by the representative of one Party, speaking on behalf of the European Community and its member States.

2. Conclusions

15. At its 3rd meeting, on 27 July, having considered a proposal by the Chairman, the SBSTA adopted the following conclusions:

(a) The SBSTA took note of the progress report by the secretariat contained in document FCCC/SBSTA/2001/INF.1, which included information provided by the secretariats of the International Maritime Organization and the International Civil Aviation Organization;

(b) The SBSTA decided to consider this matter further at its fifteenth session.

B. Methods and tools to evaluate impacts and adaptation
(Agenda item 3 (b))

1. Proceedings

16. The SBSTA considered this sub-item at its 2nd and 3rd meetings, on 24 and 27 July respectively. It had before it document FCCC/SBSTA/2001/INF.4.

17. Statements were made by the representatives of two Parties, including one speaking on behalf of the European Community and its member States.

2. Conclusions

18. At its 3rd meeting, on 27 July, having considered a proposal by the Chairman, the SBSTA adopted the following conclusions:

(a) The SBSTA took note of the report of the workshop on methodologies on climate change impact and adaptation held at Sainte Adèle, Canada, in June 2001 (FCCC/SBSTA/2001/INF.4). It drew the attention of the Subsidiary Body for Implementation to the conclusions of the workshop for consideration, as appropriate, in its future work related to adaptation;

(b) The SBSTA invited Parties to consider the information provided and to be prepared, at its fifteenth session, to give further consideration to planning its work on the methodologies to assess climate change impacts, vulnerability and adaptation. To facilitate consideration, the SBSTA invited Parties and organizations to submit their views on the issues identified in document FCCC/SBSTA/2001/INF.4 by 1 October 2001 for compilation into a miscellaneous document;

(c) The SBSTA expressed appreciation to the Government of Canada and the United Nations Development Programme - Global Environment Facility (UNDP-GEF) for their support in organizing the UNFCCC workshop.

C. Issues related to emissions from forest harvesting and wood products

(Agenda item 3 (c))

1. Proceedings

19. The SBSTA considered this sub-item at its 2nd and 3rd meetings, on 24 and 27 July respectively. It had before it document FCCC/SBSTA/2001/MISC.1.

20. A statement was made by the representative of one Party.

2. Conclusions

21. At its 3rd meeting, on 27 July, having considered a proposal by the Chairman, the SBSTA adopted the following conclusions:

(a) The SBSTA took note of submissions by Parties contained in document FCCC/SBSTA/2001/MISC.1;

(b) The SBSTA expressed appreciation to the Government of New Zealand for having organized a workshop relating to this issue;

(c) The SBSTA decided to consider this matter further at its fifteenth session.

D. Progress related to a technology information system

(Agenda item 3 (d))

1. Proceedings

22. The SBSTA considered this sub-item at its 2nd and 3rd meetings, on 24 and 27 July respectively. The secretariat provided an oral report on its inter-sessional activities related to the development of a technology information system.

23. Statements were made by the representatives of two Parties.

2. Conclusions

24. At its 3rd meeting, on 27 July, having considered a proposal by the Chairman, the SBSTA adopted the following conclusions:

(a) The SBSTA took note of the progress made by the secretariat in developing a technology information system and invited Parties interested in testing the system to contact the secretariat[1] for a password to allow them to access the system;

(b) The SBSTA decided to consider this matter further at its fifteenth session.

E. Article 6 of the Convention: Education, training and public awareness
(Agenda item 3 (e))

1. Proceedings

25. The SBSTA considered this sub-item at its 2nd and 3rd meetings, on 24 and 27 July respectively. No new document was produced for this item.

26. Statements were made by the representatives of 17 Parties, including one speaking on behalf of the European Community and its member States.

2. Conclusions

27. At its 3rd meeting, on 27 July, having considered a proposal by the Chairman, the SBSTA adopted the following conclusions:

(a) The SBSTA thanked the secretariat for its oral report on Article 6 of the Convention on education, training and public awareness, and welcomed the fact that a new document would be available for its fifteenth session;

(b) The SBSTA noted that Article 6 should become a substantive item on the agenda of the SBSTA. The SBSTA suggested that, resources permitting, the secretariat might consider organizing a workshop, following the fifteenth session of the SBSTA, that would provide an opportunity for Parties to share their experience, the lessons learned and best practices in connection with Article 6 activities, and to discuss the prioritization of elements of a SBSTA work programme;

(c) The SBSTA noted with appreciation the efforts made by the secretariat to share experience and information products through side events and it encouraged, resources permitting, a wider dissemination through further development of web sites, clearing houses and resource centres, in cooperation with relevant organizations. In this regard, the SBSTA noted the significant contributions made by United Nations organizations, as well as other intergovernmental and non-governmental organizations, and invited them to provide information

[1] By e-mail at the following address: secretariat@unfccc.int

to the secretariat on their activities related to Article 6 following the fifteenth session of the SBSTA, in order that this information might be considered at a workshop;

(d) The SBSTA noted the importance of widely disseminating the information contained in the reports of the Intergovernmental Panel on Climate Change (IPCC) in more than the six official United Nations languages and requested the secretariat to liaise with the IPCC on this matter;

(e) The SBSTA requested the secretariat to include information on options concerning the designation of a day to be observed as United Nations Climate Change Day in the document to be prepared for the fifteenth session of the SBSTA.

IV. SCIENTIFIC AND METHODOLOGICAL ASPECTS OF THE PROPOSAL BY BRAZIL

(Agenda item 4)

1. Proceedings

28. The SBSTA considered this item at its 2nd and 3rd meetings, on 24 and 27 July respectively. It had before it document FCCC/SBSTA/2001/INF.2.

29. Statements were made by the representatives of eight Parties, including one speaking on behalf of the European Community and its member States.

30. At its 2nd meeting, on 24 July, the Chairman of the SBSTA invited Mr. David Warrilow (United Kingdom of Great Britain and Northern Ireland) and Mr. Luis Gylvan Meira Filho (Brazil) to hold informal consultations.

31. At the 3rd meeting, on 27 July, Mr. Warrilow reported on the informal consultations that he had co-chaired with Mr. Meira Filho relating to this item.

2. Conclusions

32. At its 3rd meeting, on 27 July, having considered an oral report by the co-chairmen of the informal consultations, the SBSTA adopted the following conclusions:

(a) The SBSTA recalled that the COP, at its third session, had decided that the proposal presented by Brazil in document FCCC/AGBM/1997/MISC.1/Add.3 should be referred to the SBSTA for its advice regarding the methodological and scientific aspects (FCCC/CP/1997/7/Add.1);

(b) The SBSTA took note of the progress report on the review of the scientific and methodological aspects of the proposal by Brazil contained in document FCCC/SBSTA/2001/INF.2, including the conclusions of an expert meeting, held in Bonn from 28 to 30 May 2001, on the scientific and methodological aspects of the proposal;

(c) The SBSTA encouraged Parties to pursue and support the research effort on the scientific and methodological aspects of the proposal by Brazil as recommended in document FCCC/SBSTA/2001/INF.2 and to communicate such activities to the secretariat;

(d) The SBSTA requested the secretariat to continue to coordinate the review of this proposal, to facilitate the dissemination of scientific and methodological information on this proposal, to organize an expert meeting to share information on the development of the scientific and methodological aspects of the proposal by Brazil, to broaden participation and to build scientific understanding of this subject before its seventeenth session, and to prepare a report for that session. To this end, the SBSTA requested all Parties, especially those not included in Annex I to the Convention, to nominate additional experts to the UNFCCC roster of experts;

(e) The SBSTA decided to consider this matter further at its seventeenth session.

V. "BEST PRACTICES" IN POLICIES AND MEASURES AMONG PARTIES INCLUDED IN ANNEX I TO THE CONVENTION

(Agenda item 5)

1. Proceedings

33. The SBSTA considered this item at its 2nd and 3rd meetings, on 24 and 27 July respectively. It had before it documents FCCC/SBSTA/2001/MISC.2 and Add.1.

34. Statements were made by the representatives of 23 Parties, including one speaking on behalf of the European Community and its member States, one speaking on behalf of the Group of 77 and China, one speaking on behalf of the Alliance of Small Island States and two speaking on behalf of the Central Group 11.

35. At its 2nd meeting, on 24 July, the Chairman of the SBSTA invited Mr. José Romero (Switzerland) and Mr. Richard Muyungi (United Republic of Tanzania) to hold informal consultations on this matter.

36. At the 3rd meeting, on 27 July, Mr. Romero reported on the informal consultations that he had co-chaired with Mr. Muyungi relating to this item.

37. At the 3rd meeting, some Parties expressed a wish to defer a planned workshop on this matter until the COP had adopted a decision on "best practices" in policies and measures among Parties included in Annex I to the Convention. Other Parties expressed a strong preference for the workshop to be held. The Chairman, having noted the request made by the COP at the first part of its sixth session (FCCC/CP/2000/5/Add.2, section III, para. 9), confirmed that the workshop should take place.

2. Conclusions

38. At its 3rd meeting, on 27 July, having considered an oral report by the co-chairmen of the informal consultations, the SBSTA adopted the following conclusions:

(a) The SBSTA took note of documents FCCC/SBSTA/2001/MISC.2 and Add.1 containing submissions by Parties on terms of reference for a workshop on "good practices" in policies and measures;

(b) The SBSTA accepted with appreciation the offer of the Government of Denmark, in collaboration with Norway, to host an expert workshop on "good practices" in policies and measures in Copenhagen from 8 to 10 October 2001. Participation in the workshop would be open to experts from all interested Parties;

(c) The SBSTA concluded that the workshop should advance the work on sharing experience and exchanging information on "good practices" in policies and measures. To that end, it should build on the initial results obtained at the Copenhagen workshop on "best practices" in policies and measures held in 2000;

(d) The concept of "good practices" and "best practices" should be used as a framework for sharing experience and exchanging information. The detailed discussion should focus on "good practices" in policies and measures of Annex I Parties in relevant sectors, including innovative market-based instruments such as domestic emissions trading, as well as domestic voluntary agreements and cross-cutting issues. This detailed discussion should further include evaluation of the design and effectiveness of policies and measures, taking into account national circumstances, and those Parties minimizing adverse effects of their policies and measures on developing country Parties. A round table is envisaged with a particular focus on "best practices" in policies and measures for the countries with economies in transition;

(e) The SBSTA invited Parties to submit to the secretariat, by 30 August 2001, summaries of papers for presentation at the workshop, and requested the secretariat to prepare the agenda for the workshop. The necessary arrangements should be made to ensure participation in the workshop of experts from Parties eligible for funding;

(f) The SBSTA decided to consider the report of the workshop at its fifteenth session and report the results to the COP at its seventh session.

VI. COOPERATION WITH RELEVANT INTERNATIONAL ORGANIZATIONS
(Agenda item 6)

1. Proceedings

39. The SBSTA considered this item at its 1st and 2nd meetings on 24 July and again at its 3rd meeting, on 27 July. It had before it documents FCCC/SBSTA/2001/INF.3 and FCCC/SBSTA/2001/MISC.3 and Add.1.

40. Statements were made by the representatives of 27 Parties, including one speaking on behalf of the European Community and its member States and one speaking on behalf of the Group of 77 and China.

41. At the 2nd meeting, on 24 July, the Chairman of the SBSTA invited Mr. Ian Carruthers (Australia) and Ms Jimena Nieto Carrasco (Colombia) to hold informal consultations.

2. Conclusions

42. At its 3rd meeting, on 27 July, having considered a proposal by the Chairman, the SBSTA adopted the following conclusions:

Cooperation with other conventions

(a) The SBSTA emphasized the need for enhanced cooperation between the UNFCCC and other relevant conventions and stressed the importance of coordination at the national level;

(b) The SBSTA noted with appreciation the information on the issues relating to cooperation between the Convention on Biological Diversity (CBD) and the UNFCCC provided by the Chairman of the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) of the CBD. It also took note of the information provided by the secretariat in documents FCCC/SBSTA/2001/INF.3 and FCCC/SBSTA/2001/MISC.3;

(c) The SBSTA welcomed the proposal by the SBSTTA of the CBD on potential areas of collaboration and coordinated action between the CBD and the UNFCCC. It encouraged Parties to promote the involvement of climate change expertise in the CBD pilot assessment of the interlinkages between climate change and biological diversity;

(d) The SBSTA endorsed the formation of a joint liaison group between the secretariats of the UNFCCC and the CBD and requested the secretariat of the UNFCCC to invite the secretariat of the United Nations Convention to Combat Desertification to participate in this liaison group in order:

(i) To enhance coordination between the three conventions, including the exchange of relevant information;

(ii) To explore options for further cooperation between the three conventions, including the possibility of a joint work plan and/or a workshop;

(e) The SBSTA requested the secretariat of the UNFCCC to invite representatives of other relevant instruments and bodies, including the IPCC, to participate in meetings of the liaison group, as appropriate. It requested the secretariat to report periodically to the SBSTA on the activities and proposals of the joint liaison group;

(f) The SBSTA invited Parties to submit their further views on cooperation between the three conventions as referred to in paragraph 42 (d) (i) above by 15 October 2001 for inclusion in a miscellaneous document;

(g) The SBSTA supported the request of the SBSTTA of the CBD that the IPCC develop a technical paper. It welcomed the scoping paper prepared by the IPCC. The SBSTA invited the IPCC to consider interlinkages between climate change, biodiversity and desertification in developing its technical paper. The SBSTA invited Parties to submit their views on the proposed IPCC technical paper by 1 September 2001 for inclusion in a miscellaneous document and also to forward their comments directly to the IPCC;

(h) The SBSTA agreed to consider these issues further at its fifteenth session;

Cooperation with scientific organizations

(i) The SBSTA took note of the completion of the IPCC Third Assessment Report (TAR) and commended the IPCC on the high quality of its scientific work. It also expressed its appreciation for the special presentations on the findings of the TAR made during the resumed sixth session of the COP. It requested the secretariat to put the TAR and the IPCC synthesis report on the agenda of the fifteenth session of the SBSTA;

(j) The SBSTA took note of the report made by the Director of the Global Climate Observing System (GCOS) Secretariat, on behalf of the agencies participating in the Climate Agenda, on activities relating to decision 5/CP.5.[2] It noted that support is needed for GCOS workshops that are planned for the Caribbean and Central America and Asia regions in 2002. The SBSTA took note of the prospectus provided by the GCOS secretariat on a second assessment of the adequacy of the global climate observing system;

Cooperation with United Nations bodies

(k) The SBSTA noted with appreciation the information provided by the Director of the Forest Products Division of the Food and Agriculture Organization of the United Nations (FAO) about the decisions taken by FAO committees on forestry and agriculture regarding activities relating to climate change.

VII. ANY MATTERS REFERRED BY THE CONFERENCE OF THE PARTIES TO THE SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE

(Agenda item 7)

43. Since no matters had been referred by the COP to the SBSTA, this agenda item was not taken up.

VIII. REPORT ON THE SESSION

(Agenda item 8)

44. At its 4th meeting, on 27 July, the SBSTA considered the draft report on its fourteenth session (FCCC/SBSTA/2001/L.1). At the same meeting, on a proposal by the Chairman, the SBSTA authorized the Rapporteur, with the assistance of the secretariat, to complete the report on the session, under the guidance of the Chairman.

IX. CLOSURE OF THE SESSION

45. At the final meeting, on 27 July, the Chairman thanked representatives and the chairpersons of the informal consultations for their contributions.

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[2] For the full text of the decision adopted by the Conference of the Parties at its fifth session, see document FCCC/CP/1999/6/Add.1.

Annex

LIST OF DOCUMENTS BEFORE THE SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE AT ITS FOURTEENTH SESSION

FCCC/SBSTA/2000/14	Report of the Subsidiary Body for Scientific and Technological Advice on the second part of its thirteenth session, The Hague, 13-18 November 2000
FCCC/SBSTA/2001/1	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBSTA/2001/INF.1	Reports on inter-sessional activities. Emissions resulting from fuel used for international transportation
FCCC/SBSTA/2001/INF.2	Scientific and methodological aspects of the proposal by Brazil. Progress report on the review of the scientific and methodological aspects of the proposal by Brazil
FCCC/SBSTA/2001/INF.3	Cooperation with relevant international organizations. Issues related to the Convention on Biological Diversity
FCCC/SBSTA/2001/INF.4	Reports on inter-sessional activities. Methods and tools to assess climate change impact and adaptation. Report of the workshop on methodologies on climate change impact and adaptation
FCCC/SBSTA/2001/MISC.1	Reports on inter-sessional activities. Issues related to emissions from forest harvesting and wood products. Submissions from Parties
FCCC/SBSTA/2001/MISC.2 and Add.1	"Best practices" in policies and measures among Parties included in Annex I to the Convention. Submissions from Parties
FCCC/SBSTA/2001/MISC.3 and Add.1	Cooperation with relevant international organizations. Submissions from Parties

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Fifteenth session
Marrakesh, 30 October - 6 November 2001
Item 2 (a) of the provisional agenda

PROVISIONAL AGENDA AND ANNOTATIONS

Note by the Executive Secretary

I. INTRODUCTION

1. Arrangements have been made for the fifteenth session of the Subsidiary Body for Scientific and Technological Advice (SBSTA) to be held at the Palais des Congrès, Marrakesh, Morocco, in the period from 30 October to 6 November 2001. The SBSTA session is scheduled to be opened by the Chairman at 10 a.m. on Tuesday, 30 October 2001.

2. The provisional agenda for the fifteenth session of the SBSTA is substantial and it also includes a provision for the SBSTA to take up any items referred to it by the Conference of the Parties at its seventh session.

II. PROVISIONAL AGENDA

3. The provisional agenda for the fifteenth session of the SBSTA, proposed after consultation with the Chairman, is as follows:

1. Opening of the session.
2. Organizational matters:
   (a) Adoption of the agenda;
   (b) Organization of the work of the session;
   (c) Election of officers other than the Chairman.
3. Matters referred to the Subsidiary Body for Scientific and Technological Advice by the Conference of the Parties:

(a) Third Assessment Report of the Intergovernmental Panel on Climate Change;

(b) Any other matters.

4. Methodological issues:

(a) Ongoing activities on reporting and review of greenhouse gas inventories from Parties included in Annex I to the Convention (implementing decisions 3/CP.5 and 6/CP.5);

(b) Emissions resulting from fuel used in international transportation;

(c) Methods and tools to evaluate impacts and adaptation;

(d) Development of good practice guidance and other information for the land use, land-use change and forestry sector;

(e) Issues relating to emissions from forest harvesting and wood products.

5. Development and transfer of technologies.

6. "Good practices" in policies and measures.

7. Cooperation with relevant international organizations.

8. Article 6 of the Convention: Education, training and public awareness.

9. Activities implemented jointly under the pilot phase.

10. Other matters.

11. Report on the session.

III. ANNOTATIONS TO THE PROVISIONAL AGENDA

1. Opening of the session

4. The fifteenth session of the SBSTA is scheduled to be opened by the Chairman at 10 a.m. on Tuesday, 30 October 2001.

2. Organizational matters

(a) Adoption of the agenda

5. The provisional agenda for the fifteenth session of the SBSTA will be presented for adoption.

(b) Organization of the work of the session

6. Parties are invited to refer to the annotations to the provisional agenda of the seventh session of the COP at its seventh session for information on the general schedule. Parties may also wish to consult the Daily Programme, published prior to and during the session, for a more detailed and updated schedule of work of the SBSTA.

7. Parties may wish to note that due to the short period between the fourteenth and the fifteenth sessions of the SBSTA, there is a likelihood of delay in the availability of some documents in all six official languages of the United Nations prior to the session.

(c) Election of officers other than the Chairman

8. Pursuant to rule 27 of the draft rules of procedure being applied, the SBSTA is expected to elect its own Vice-Chairman and Rapporteur. The Chairman will continue consultations, initiated at the fourteenth session, with the coordinators of the regional groups with a view to electing the other officers. Early agreement on the nominations by the regional groups will enable the SBSTA to elect the remaining officers and to continue its substantive work in an efficient manner. The current officers of the SBSTA will remain in office until their successors are elected.

9. The President of the seventh session of the COP is expected to hold consultations on the election of the Bureau of the COP, including the election of the Chairman of the SBSTA. These consultations could be expanded to encompass the election of the Vice-Chairmen and Rapporteurs of the subsidiary bodies, if it is so decided.

10. **Action:** The SBSTA will be invited to elect its Vice-Chairman and Rapporteur.

3. Matters referred to the Subsidiary Body for Scientific and Technological Advice by the Conference of the Parties

(a) Third Assessment Report of the Intergovernmental Panel on Climate Change

11. **Background**: At its seventh session, the COP will have on its agenda the Third Assessment Report of the Intergovernmental Panel on Climate Change (IPCC). It is expected that the COP will request the SBSTA to consider the report and provide advice to the COP.

12. At its fourteenth session, the SBSTA took note of the completion of the Third Assessment Report (TAR) of the IPCC and commended the IPCC on the high quality of its scientific work. It requested the secretariat to put the TAR and the IPCC synthesis report on the agenda of the fifteenth session of the SBSTA. Copies of the three volumes were made available at COP 6 (part two) and can also be found on the web page of the IPCC.[1]

13. It is anticipated that copies of the fourth volume, entitled "Climate Change 2001: Synthesis Report" will be available at COP 7, following acceptance of the report at the

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[1] www.ipcc.ch

eighteenth session of the IPCC taking place from 24 to 29 September at Wembley, United Kingdom of Great Britain and Northern Ireland.

14. The SBSTA will have before it a note prepared by the secretariat contained in document FCCC/SBSTA/2001/INF.6. This note provides background information from the IPCC on the Third Assessment Report and the Synthesis Report. It provides some general information on the reports and identifies a number of issues regarding use of the reports, particularly in relation to the possible future work of the subsidiary bodies.

15. **Action**: The SBSTA may wish to take note of the information in document FCCC/SBSTA/2001/INF.6, the three Summaries for Policymakers prepared by the three IPCC Working Groups and, following IPCC's acceptance, a report entitled "Climate Change 2001: Synthesis Report". The SBSTA may wish to identify issues for further consideration and a process for assessing any such issues. It may also wish to draw relevant matters to the attention of the SBI and the COP.

(b) Any other matters

16. Any matters other than those listed above which have been referred by the COP at its seventh session to the SBSTA for consideration at its fifteenth session will be taken up under this item.

4. Methodological issues

(a) Ongoing activities on reporting and review of greenhouse gas inventories from Parties included in Annex I to the Convention (implementing decisions 3/CP.5 and 6/CP.5)

17. **Background:** The COP, by its decision 3/CP.5, adopted reporting guidelines to be used for reporting inventories from Parties included in Annex I to the Convention beginning in year 2000. The COP, by its decision 6/CP.5, also adopted guidelines for the technical review of greenhouse gas (GHG) inventories from Parties included in Annex I to the Convention (Annex I Parties), referred to as the review guidelines. A two-year trial period was set up to assess both the reporting and the review guidelines.

18. Information relating to the implementation of decisions 3/CP.5 and 6/CP.5 was provided in a verbal report by the secretariat to the SBI at its fourteenth session. In the present session, the main issue relating to the implementation of decisions 3/CP.5 and 6/CP.5 concerns the request of the SBSTA to consider possible revisions of the UNFCCC reporting guidelines on annual GHG inventories (FCCC/CP/1999/6/Add.1). For this reason the item has been placed on the agenda of the SBSTA for its consideration.

19. The COP invited Annex I Parties to submit information to the secretariat by 1 July 2001 on their experiences with using the reporting guidelines, in particular the common reporting format (CRF), in the period 2000-2001. The document FCCC/SBSTA/2001/MISC.4 contains the information submitted by Parties. The SBSTA, at its twelfth session, invited Annex I Parties to submit, by 15 August 2001, information on their experiences with using the IPCC report entitled *Good Practice Guidance and Uncertainty Management in National Greenhouse Gas*

Inventories. Document FCCC/SBSTA/2001/MISC.5 contains the information submitted by Parties.

20. The COP also requested the secretariat to prepare a report on the use of the reporting guidelines, in particular the CRF, taking into account, *inter alia*, experiences gained by Parties in using the guidelines, and by the secretariat in processing the CRF, for the consideration of possible revisions to these guidelines by the SBSTA at its fifteenth session. In response to this request, the SBSTA will have before it the documents FCCC/SBSTA/2001/5 and FCCC/SBSTA/2001/5/Add.1.

21. By its decision 6/CP.5, the COP requested the secretariat to conduct annual initial checks and an annual synthesis and assessment of GHG inventories from Annex I Parties beginning in 2000. It also requested the secretariat to conduct, during the trial period, individual reviews using different approaches, namely desk, centralized and in-country reviews. Information on the experience gained so far in the technical review of GHG inventories and the future activities of the secretariat in this area is contained in document FCCC/SBI/2001/12.

22. The secretariat will organize an expert meeting on the methodological and operational aspects of the reporting and review guidelines to take place in Bonn from 4 to 6 December 2001. The aim of this expert meeting is to assess further the experience gained during the trial period by Parties, the secretariat and experts in the use of the reporting and review guidelines and to consider possible ways of revising these guidelines, as requested by decisions 3/CP.5 and 6/CP.5.

23. **Action:** The SBSTA may wish to have an initial exchange of views on the information contained in the documents referred to in paragraphs 19, 20 and 21. However, the SBSTA may wish to defer the consideration of any revisions to the reporting guidelines to its sixteenth session, when the technical review of GHG inventories conducted during the trial period will be completed and when the conclusions of the expert meeting will be available. If so, the SBSTA may wish to recommend to the COP that it defers its consideration of this matter from its seventh to its eighth session.

24. Parties are invited to come prepared to provide guidance on further work needed for the consideration of the revision of the reporting and review guidelines by the SBSTA at its sixteenth session.

(b) Emissions resulting from fuel used in international transportation

25. **Background:** Article 2.2 of the Kyoto Protocol states that the Parties included in Annex I shall pursue the limitation or reduction of emissions of GHGs not controlled by the Montreal Protocol from aviation and marine bunker fuels, working through the International Civil Aviation Organization (ICAO) and the International Maritime Organization (IMO), respectively.

26. At the eleventh session, the SBSTA stressed the need further to enhance cooperation with ICAO and IMO, and invited them to continue to provide the SBSTA with regular progress reports (FCCC/SBSTA/1999/14, para. 56 (a)).

27. At the fourteenth session, the SBSTA took note of the progress report by the secretariat contained in document FCCC/SBSTA/2001/INF.1, which includes information provided by the secretariats of IMO and ICAO. At the same meeting, the SBSTA decided to consider this matter further at its fifteenth session (FCCC/SBSTA/2001/2, para. 15).

28. **Action:** The SBSTA may wish to consider further the information contained in document FCCC/SBSTA/2001/INF.1, and any additional information that may be provided by ICAO and IMO, and to determine what additional activities, if any, should be undertaken.

(c) Methods and tools to evaluate impacts and adaptation

29. **Background:** At the fourteenth session, the SBSTA took note of the report of the workshop on methodologies on climate change impact and adaptation held at Sainte Adèle, Canada, in June 2001 (FCCC/SBSTA/2001/INF.4). At the same meeting, it invited Parties to be prepared to give further consideration at its fifteenth session to planning its work on the methodologies to assess climate change impacts, vulnerability and adaptation. The SBSTA invited Parties and organizations to submit their views on the issues identified in document FCCC/SBSTA/2001/INF.4 by 1 October 2001 for compilation into a miscellaneous document (FCCC/SBSTA/2001/2, para. 18).

30. **Action:** The SBSTA may wish to take note of information provided in document FCCC/SBSTA/2001/MISC.6. It may also wish to bear in mind the relevant information provided by Working Group II of the IPCC in its report "Climate Change 2001: Impacts, Vulnerability and Adaptation". Parties are invited to come prepared to provide further guidance on future work on the methodologies to assess climate change impacts, vulnerability and adaptation.

(d) Development of good practice guidance and other information for the land use, land-use change and forestry sector

31. At the twelfth session, the SBSTA requested the IPCC to complete the work on good practice guidance for the land use, land-use change and forestry (LULUCF) sector (FCCC/SBSTA/2000/5, para. 40 (h)).

32. The IPCC, at its seventeenth session, decided to elaborate a report on Good Practice Guidance and Uncertainty Management for the LULUCF sector. In the IPCC decision, it was noted that it would need to take into account any further decisions or guidance from meetings of the Conference of the Parties of the UNFCCC. In accordance with its decision, the IPCC organized an expert meeting to plan its work. This took place in Geneva from 6 to 8 August 2001. The results of the expert meeting will be considered by the IPCC at its eighteenth session, from 24 to 29 September at Wembley, United Kingdom of Great Britain and Northern Ireland.

33. An IPCC representative will inform the SBSTA about its planned activities relating to Good Practice Guidance for the LULUCF sector, and any other related activities.

34. **Action:** The SBSTA may wish to take note of the information provided by the IPCC and provide additional guidance on this matter, as appropriate.

(e) Issues relating to emissions from forest harvesting and wood products

35. **Background:** The SBSTA, at its eleventh session, invited Parties to submit, by 15 March 2001, their views on approaches for estimating and accounting for emissions of carbon dioxide from forest harvesting and wood products, taking into account the report of the IPCC meeting of experts on that subject held at Dakar, Senegal, from 5 to 6 May 1998, for compilation into a miscellaneous document and consideration by the SBSTA at its fifteenth session (FCCC/SBSTA/1999/14, para. 69).

36. At the fourteenth session, the SBSTA took note of submissions by Parties contained in document FCCC/SBSTA/2001/MISC.1. At the same meeting, the SBSTA decided to consider this matter further at its fifteenth session (FCCC/SBSTA/2001/2, para. 21).

37. **Action:** The SBSTA may wish to consider the information contained in document FCCC/SBSTA/2001/MISC.1 and to determine what additional activities, if any, should be undertaken.

5. Development and transfer of technologies

38. **Background:** At its first session, the Conference of the Parties requested the secretariat to collect information from relevant sources, *inter alia*, the Commission on Sustainable Development, United Nations agencies, the IPCC and the SBSTA, and to prepare an inventory and assessment of environmentally sound and economically viable technologies and expertise conducive to mitigating, and adapting to, climate change (FCCC/CP/1995/7/Add.1, decision 13/CP.1, para. 1 (b)). At the same session, the COP requested the secretariat to update the above information at regular intervals for consideration by the COP at each of its sessions.

39. At subsequent sessions, the secretariat informed the SBSTA of the progress it had made in developing a technology information system (FCCC/SBSTA/2000/5, para. 52 (g) and FCCC/SBSTA/2000/10, para. 51 (e)).

40. At the fourteenth session, the SBSTA invited interested Parties to contact the secretariat[2] for a password to allow them to access and test the system. At the same meeting, the SBSTA decided to consider this matter further at its fifteenth session (FCCC/SBSTA/2001/2, para. 24).

41. **Action:** The SBSTA will have before it a progress report by the secretariat on this matter (FCCC/SBSTA/2001/4). It may wish to provide further guidance to the secretariat on the design and implementation of this information system and, if appropriate, to make recommendations to the COP for consideration at its seventh session.

6. "Good practices" in policies and measures

42. **Background:** The Conference of the Parties, at the first part of its sixth session, requested the secretariat to organize a workshop on "Good practices in policies and measures among Parties included in Annex I to the Convention", referred to in paragraph 7 of the draft

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[2] By e-mail at the following address: secretariat@unfccc.int.

decision on this matter submitted by the President.[3] The COP requested the SBSTA to outline the terms of reference for the workshop at its fourteenth session, based on submissions by Parties, by 31 March 2001.

43. At the fourteenth session, the SBSTA took note of the document FCCC/SBSTA/2001/MISC.2 and its Add.1 containing submissions by Parties on terms of reference for a workshop on "good practices" in policies and measures. At the same meeting, the SBSTA accepted with appreciation the offer of the Government of Denmark, in collaboration with Norway, to host an experts workshop on "good practices" in policies and measures in Copenhagen from 8 to 10 October 2001. Participation in the workshop is open to experts from all interested Parties. The SBSTA concluded that the workshop should advance the work on sharing experience and exchanging information on "good practices" in policies and measures. To that end, it should build on the initial results obtained at the Copenhagen workshop on "best practices" in policies and measures held in 2000.

44. The detailed discussion should focus on "good practices" in policies and measures of Annex I Parties in relevant sectors, including innovative market-based instruments such as domestic emissions trading, as well as domestic voluntary agreements and cross-cutting issues. This detailed discussion should, further, include evaluation of the design and effectiveness of policies and measures, taking into account national circumstances, and actions taken by Parties to minimize the adverse effects of their policies and measures on developing country Parties. A round table is envisaged with a particular focus on "best practices" in policies and measures for the countries with economies in transition.

45. Also at that meeting, the SBSTA invited Parties to submit to the secretariat, by 30 August 2001, summaries of papers for presentation at the workshop, and requested the secretariat to prepare the agenda for the workshop. The SBSTA further decided to consider the report of the workshop at its fifteenth session and to report the results to the COP at its seventh session (FCCC/SBSTA/2001/2, para. 38).

46. **Action:** The SBSTA will have before it a report of the workshop as contained in document FCCC/SBSTA/2001/INF.5. The SBSTA may wish to determine what additional activities, if any, should be undertaken and to report the results to the COP.

7. Cooperation with relevant international organizations

Cooperation with other conventions

47. **Background:** At the fourteenth session, the SBSTA welcomed the proposal by the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA) of the Convention on Biological Diversity (CBD) on potential areas of collaboration and coordinated actions between the CBD and the UNFCCC. It encouraged Parties to promote the involvement of climate change expertise in the CBD pilot assessment of the interlinkages between climate change and biological diversity.

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[3] For the conclusions of the COP, see FCCC/CP/2000/5/Add.2, section III.F, para 9. For the text of the draft decision, see Part three of the report contained in document FCCC/CP/2000/5/Add.3 (vol. IV).

48. Also among its conclusions, the SBSTA endorsed the formation of a joint liaison group between the secretariats of the UNFCCC and the CBD and requested the secretariat of the UNFCCC to invite the secretariat of the United Nations Convention to Combat Desertification (UNCCD) to participate in this liaison group. It requested the secretariat to report periodically to the SBSTA on the activities and proposals of the joint liaison group (FCCC/SBSTA/2001/2, para. 42).

49. The SBSTA invited Parties to submit their further views on cooperation between the three Conventions by 15 October 2001. It also invited Parties to submit views by 1 September 2001 on a technical paper to be prepared by the IPCC on the interlinkages between climate change, biodiversity and desertification and also to forward their comments directly to the IPCC.

50. **Action**: The SBSTA will have before it submissions from Parties on the above subjects (FCCC/SBSTA/2001/MISC.7) (FCCC/SBSTA/2001/MISC.8). The secretariat will also provide a verbal report on its cooperation with the CBD and the UNCCD, including through the liaison group. The SBSTA may wish to take note of the information and provide further guidance to the secretariat on cooperation with the CBD and the UNCCD and to make recommendations to the COP for consideration, as appropriate.

Cooperation with scientific organizations

51. At the fourteenth session, the SBSTA took note of the report made by the Director of the Global Climate Observing System (GCOS) secretariat, on behalf of the agencies participating in the climate agenda, on activities relating to decision 5/CP.5. It is also anticipated that additional information will be provided by the GCOS secretariat to the fifteenth session of the SBSTA.

52. **Action**: The SBSTA may wish to take note of information contained in document FCCC/SBSTA/2001/MISC.9 and any additional information provided by the GCOS secretariat, and to consider what additional activities, if any, should be undertaken.

Cooperation with United Nations bodies

53. At the time of preparation of this note, the secretariat is not aware of any other United Nations bodies wishing to make a statement at the fifteenth session of the SBSTA.

8. Article 6 of the Convention: Education, training and public awareness

54. **Background:** At its twelfth session, the SBSTA requested the secretariat to put Article 6 on the agenda of its fourteenth session and, where appropriate, of subsequent sessions. It noted that work at the national and international levels has been undertaken by Parties, intergovernmental organizations and non-governmental organizations, and that the lessons learned, including information products, should be compiled and shared, and priority areas identified (FCCC/SBSTA/2000/5, para. 64 (b) and (c)).

55. At its fourteenth session, the SBSTA noted that the secretariat would prepare a document on Article 6 for the fifteenth session of the SBSTA. The SBSTA suggested, among other conclusions, that, resources permitting, the secretariat might consider organizing a workshop, following the fifteenth session of the SBSTA, which would provide an opportunity for Parties to

share their experiences, lessons learned and best practices in connection with Article 6 activities, and to discuss the prioritization of elements of a SBSTA work programme (FCCC/SBSTA/2001/2, para. 27).

56. **Action:** The SBSTA will have before it a document by the secretariat on Article 6 (FCCC/SBSTA/2001/6 and Add.1). The SBSTA may wish to take note of information contained in these documents and to provide guidance to the secretariat on activities relating to Article 6.

9. Activities implemented jointly under the pilot phase

57. **Background:** The COP, at its first session (decision 5/CP.1), requested the subsidiary bodies to prepare, with the assistance of the secretariat, an annual synthesis report on activities implemented jointly (AIJ) under the pilot phase for consideration by the Conference of the Parties (FCCC/CP/1995/7/Add.1).

58. The fifth synthesis report on AIJ under the pilot phase is contained in document FCCC/SBSTA/2001/7. All reports on AIJ project activities considered in the synthesis report are available on the UNFCCC web site. More information on AIJ will be provided, either in a document or an oral report.

59. By its decision 13/CP.5, the COP invited Parties to provide proposals for the improvement of the draft revised uniform reporting format (URF) contained in FCCC/SB/1999/5/Add.1, by 31 March 2000. Based on submissions received, the secretariat prepared a further draft revision of the URF and draft guidance for its use, for consideration by the subsidiary bodies at their thirteenth sessions (FCCC/SB/2000/6/Add.1). At those sessions, Parties decided to consider the draft revised URF at a later date.

60. At its sixth session, the COP took note that negotiations had been completed and consensus reached on draft decision -/CP.6 on AIJ under the pilot phase, and decided to forward the draft decision to its seventh session for adoption. The draft decision includes a request to the secretariat to organize before the fifteenth sessions of the subsidiary bodies a workshop on the draft revised URF providing an opportunity for Parties to exchange views on and understand further the methodological issues related to the format. In the absence of a formal mandate prior to this session of the COP, preliminary arrangements have been made by the secretariat to hold the workshop immediately after this session, in Marrakesh from 12 to 13 November 2001.

61. **Action:** The SBSTA may wish to take note of the information in the fifth synthesis report on AIJ under the pilot phase (FCCC/SBSTA/2001/7). It may also wish to advise the SBI about any relevant issues and, if appropriate, forward a decision to the SBI for consideration and adoption by the COP.

10. Other matters

62. The COP at the second part of its sixth session took note of the offer from the Government of Canada to convene an informal meeting on cleaner or less GHG-emitting energy, and invited the Government of Canada to report on the outcome of the meeting to the SBSTA at its fifteenth session (see FCCC/CP/2001/5, para. 80).

11. Report on the session

63. The SBSTA may wish to adopt conclusions and authorize the Rapporteur to complete the report after the session under the guidance of the Chairman and with the assistance of the secretariat. Subject to the availability of sufficient time for their translation, conclusions will be made available in all six official languages.

Annex

DOCUMENTS BEFORE THE SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE AT ITS FIFTEENTH SESSION

Documents prepared for the session

FCCC/SBSTA/2001/2	Report of the Subsidiary Body for Scientific and Technological Advice on its fourteenth session, Bonn, 24-27 July 2001
FCCC/SBSTA/2001/3	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBSTA/2001/4	Development and transfer of technologies: Progress report on technology information
FCCC/SBSTA/2001/5 and Add.1	Report on experience in the use of UNFCCC reporting guidelines on annual inventories by Annex I Parties, particularly the common reporting format
FCCC/SBSTA/2001/6 and Add.1	Article 6 of the Convention: Education, training and public awareness
FCCC/SBSTA/2001/7	Activities implemented jointly under the pilot phase. Fifth synthesis report
FCCC/SBSTA/2001/INF.5	"Good practices" in policies and measures. Workshop on "good practices" in policies and measures among Parties included in Annex I to the Convention
FCCC/SBSTA/2001/INF.6	Third Assessment Report of the Intergovernmental Panel on Climate Change
FCCC/SBSTA/2001/MISC.4	Methodological issues. Experience in the use of the UNFCCC reporting guidelines on annual inventories by Annex I Parties and alternative formats for sectoral background data tables 5A-D on land-use change and forestry of the common reporting format. Submissions from Parties
FCCC/SBSTA/2001/MISC.5	Methodological issues. Experience with using the good practice guidance in preparing the 2001 inventories by Annex I Parties. Submissions from Parties

FCCC/SBSTA/2001/MISC.6	Methods and tools to evaluate impacts and adaptation. Submissions from Parties
FCCC/SBSTA/2001/MISC.7	Cooperation with relevant international organizations. Views on IPCC's technical paper. Submissions from Parties
FCCC/SBSTA/2001/MISC.8	Cooperation with relevant international organizations. Views on cooperation between the three Conventions (UNFCCC/CBD/UNCCD). Submissions from Parties
FCCC/SBSTA/2001/MISC.9	Cooperation with relevant international organizations. Global Climate Observing System: Progress report on developments in the global observing system and activities relating to decision 5/CP.5. Submissions from Parties

Other documents for the session

FCCC/CP/2001/5 and Add.1-2	Report of the Conference of the Parties on the second part of its sixth session, held in Bonn from 16 to 27 July 2001
FCCC/SBSTA/2001/MISC.1	Reports on inter-sessional activities. Issues related to emissions from forest harvesting and wood products Submissions from Parties
FCCC/SBI/2001/12	National communications from Parties included in Annex I to the Convention. Technical review of inventories, progress report on the implementation of decision 6/CP.5

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Item 5 of the provisional agenda

DEVELOPMENT AND TRANSFER OF TECHNOLOGIES

Progress report on the development of a technology information system

Note by the secretariat

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List of abbreviations 10

I. INTRODUCTION

A. Mandate

1. At its first session, the Conference of the Parties requested the secretariat to collect information from relevant sources and to "prepare an inventory and assessment of environmentally sound and economically viable technologies and know-how conducive to mitigating and adapting to climate change. The inventory should also include an elaboration of the terms under which transfer of such technologies and know-how could take place" (FCCC/CP/1995/7/Add.1, decision 13/CP.1, para. 1 (b)). At the same session, the COP further requested the secretariat to update the above information at regular intervals (each interval not to exceed a year) for consideration by the COP at each of its sessions.

2. At its fourth session, the COP requested the secretariat to continue its work on synthesis and dissemination of information on environmentally sound technologies and know-how conducive to mitigating and adapting to climate change.

3. At its twelfth session, the SBSTA noted the progress made in the development of the secretariat web pages and of a pilot project on a technology cooperation projects inventory including both mitigation and adaptation technologies, and it requested the secretariat to make further information available on its web pages.

4. At the first part of its thirteenth session, the above matters were reiterated and the SBSTA requested the secretariat to elaborate further the proposal for activities in this area at the second part of its thirteenth session, taking into account (i) the resource implications of continuing this work at different levels of effort and (ii) the discussions held on this proposal. Subsequently, at the second part of its thirteenth session, the secretariat made available for comments a draft technical paper on this subject.

5. At its fourteenth session, the SBSTA took note of the progress made by the secretariat in developing a technology information system, and invited interested Parties to contact the secretariat for a password which would allow them to access and test the system. It then decided to consider this matter further at its fifteenth session (FCCC/SBSTA/2001/2, para. 24).

B. Scope of the note

6. This note contains information on the ongoing activities of the secretariat in 2001 relating to the development of a technology information system, particularly an inventory of environmentally sound and economically viable technologies and know-how conducive to mitigating and adapting to climate change, and to make information available using a prototype web-based technology.

C. Possible action by the SBSTA

7. The SBSTA may wish to take note of the information in this document, and:

(a) Consider what role Parties should play in supporting the technology information system, including the provision of information to be made available by the system;

(b) Provide further guidance to the secretariat with regard to the design and implementation of the technology information system, and particularly the technology cooperation projects inventory. In considering how to provide such guidance, the SBSTA may wish to determine whether this might be done via a "special" expert meeting on technology information systems or via the expert group on technology transfer anticipated in decision -/CP.6 on development and transfer of technologies forwarded for adoption by the COP at its seventh session (FCCC/CP/2001/5/Add.1).

II. BACKGROUND

8. The secretariat, with support from the Climate Technology Initiative (CTI) and the Government of the United States, initiated a pilot project to develop "climate technology web pages", for communicating with the Parties in support of the ongoing consultations under the transfer of technology consultative process, as well as to provide some near-term assistance to Parties by improving access to information on climate-friendly technologies. The pilot project demonstration site was posted on the Internet in 2000. One of the most recent efforts is the design of an Internet-based registration system for technology transfer expert centres.

9. In parallel with this effort, the secretariat pursued a pilot project to establish a technology cooperation projects inventory. The inventory focused primarily on projects and activities that have been undertaken by Parties to enhance technology transfer as a result of climate-change-related development assistance and cooperation. It explored what technology information is currently accessible on the Internet and assessed the gaps in geographical coverage and in specific services and products. It is recognized that such an inventory/database, while far from complete, could be of value to the SBSTA and the Parties by allowing analysis of the direction, magnitude and type of technology flows and by providing a source of information on projects which could be emulated and replicated.

10. The CTI has developed a search engine specifically to help users to access quality information on environmentally sound technologies, know-how and practices. A key capability of this search engine is that it allows for an advanced search of bibliographic information by energy sector, technology, region and source document. The secretariat is cooperating with CTI and is currently assessing the possibility of using this engine in its technology information system.

11. This report should be read in conjunction with the previous documents prepared by the secretariat on these topics: "Initial report on and inventory and assessment of technologies to mitigate and adapt to climate change" (FCCC/SBSTA/1996/4 and Add.1 and 2), "Options for technology information centres and networks" (FCCC/SBSTA/1998/INF.2), and "Technology and technology information needs arising from the survey of developing country Parties" (FCCC/SBSTA/1998/INF.5).

III. DISCUSSION

A. Recent activities

12. Since the last progress report presented at SBSTA 12, the secretariat undertook the following activities in response to the above mandate:

(a) A review and update of the technology cooperation projects inventory. The inventory contains at present some 1,200 projects and programmes (400 new entries), including: Global Environmental Facility climate projects and programmes, projects cited in National Communications of Annex I Parties, projects cited in consultative process submissions, Activities Implemented Jointly projects, projects identified by the OECD/DAC (in a consultant report), United States and German technology cooperation reports, projects cited in initial national communications of Parties not included in Annex I to the Convention, some bilateral projects not reported in national communications of Annex I Parties, and some multilateral projects and programmes such as non-GEF related activities of UNEP, UNDP, UNIDO, regional development banks and other multilateral implementing agencies;

(b) Redesign of the inventory databases and extension of their coverage. New data fields have been added (such as CO_2 reduction, project status, project elements, project officer, project URL, multiple contacts, project categories) in order to provide additional information on the projects included in the inventory;

(c) Review of COP and SBSTA documents relating to the subject matter as well as other documents such as those produced within the technology transfer consultative process and use of the information contained in these documents, such as the compilation of existing technology information centres and coastal zone centres and lists of experts involved in the technology transfer consultative process, to establish several new databases;

(d) Design and development of a functional prototype of an Internet-based technology information system which provides access to information on the development and transfer of environmentally sound technologies under the Convention, provides synergy with ongoing efforts in other organizations, and contributes to a more efficient use of the available resources within the secretariat. The basic elements and function of the prototype were presented to the Parties at the thirteenth session of the SBSTA (first and second parts);

(e) Preparation of a working paper, which contains a detailed project proposal on establishing a technology information system/clearing house and international information network distributed to Parties for comments at the second part of the thirteenth session of the SBSTA. The updated and revised version of the proposal is available in document FCCC/TP/2001/2;

(f) Continuation of its cooperation with other international organizations both in establishing means for electronic access to, and exchange of, information relating to the transfer of climate-friendly technologies and in harmonizing the project/technology classification systems used. The secretariat sent letters, requesting permission to access information available on their web sites, to GEF, OECD/DAC, IEA (Greentie, CADDET, IEAGHG, CTI), IPCC, UNEP

(maESTro), UNDP, UNIDO, World Bank (GATEWAY), EU, and to some Parties including the United States (DoE, EPA, NREL, EIA, USAID), Germany (Cleaner Production site), Japan (NEDO), Canada (CIDA) Australia (Australian GHG Office) and China (EST). All the responses received from these organizations to date have indicated their willingness to share information with the UNFCCC;

(g) Presentation of the technology information system at the informal consultations held at the first and second parts of the thirteenth session of the SBSTA and at COP 6.

(h) Redesign of the prototype technology information system to enhance its technical performance, its alignment to UNFCCC standards for information technology applications, and in order to maximize the use of existing on-line information, thereby reducing the resource implications of operating and maintaining the system;

(i) Preparation of short guidelines for testing the information technology system (available on the UNFCCC web page), and making the new system available to Parties for on-line testing.

B. Main characteristics and possible use of the technology information system

13. The technology information system complements and works with existing web sites/clearing houses of other relevant international organizations and national/regional technology information centres. It has the potential to act as a gateway for fast access to up-to-date information on the latest technology transfer projects, environmentally sound technologies and know-how,[1] and organizations and experts involved in the development and transfer of technologies.

14. It includes a search engine which enables users to access distributed sources of information such as UNFCCC, OECD, IEA and UNEP databases, performs conversions between different classifications used by these sources, and presents integrated results. Some other characteristics of the search engine are as follows:

(a) It allows a search to be made by using global criteria such as donor country, recipient country, implementing agency and text strings in the project title or project description;

(b) It enables the user to specify local criteria when searching each database. For example, the UNFCCC Technology Transfer Projects database allows project searches to be made using the following criteria: project type (such as mitigation, adaptation), project status (such as ongoing, completed, cancelled), project elements (such as investment facilitation, regulatory/technical barrier removal, demonstration project) and source of information. The OECD/DAC database can be searched using other criteria: sector of the aid (e.g. energy generation and supply, transport, industry, agriculture and forestry), the policy objectives of the aid (these objectives are tracked across most sectors and forms of aid using a "marker system") and the nature or form of the aid. (such as grants, loans, technical cooperation).

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[1] Limited to energy supply (from mining to waste disposal).

15. Parties may update the information in the project database remotely; using the Internet, technology transfer projects can be added, deleted or updated directly by users[2] with authorized passwords.

16. Parties may use the system to access information on ongoing technology cooperation projects by countries, sectors of activity or technology type, to browse technical characteristics, economic performance and environmental parameters of different technologies, to locate possible partners or to locate experts to provide support. They may also perform side-by-side comparisons of different technologies stored in the database.[3]

17. A web message board is included to facilitate the exchange of views and experiences on the development and transfer of technologies. This feature may prove beneficial in stimulating active participation of the Parties in the technology transfer process under the Convention.

18. The system could also be useful to the secretariat in preparing synthesis reports of information provided by Parties included in Annex I to the Convention on ongoing technology transfer activities.

C. Issues for consideration

19. The guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part II: UNFCCC reporting guidelines on national communications (FCCC/CP/1999/7) required submissions of information in accordance with Article 12.3. The forthcoming national communications from Annex I Parties are due in November 2001. Hence it is not feasible in the short term for these Parties to submit information electronically for easy access via the information system. In the future, however, Annex I Parties could, on a voluntary basis, electronically update the information on their technology transfer programmes and activities in the technology information system (see paragraph 15). Other Parties could use a similar approach to provide information on technology needs.

20. Considerable institutional capacity to provide information relating to the transfer of environmentally sound technologies and know-how already exists. Much of this capacity is distributed among relevant United Nations organizations and specialized agencies, and the national and regional networks which they serve. The pilot system partially demonstrates how information sharing may be achieved through alliances between suppliers of technology information. What additional alliances should be pursued and with which organizations, and what topics should be given priority?

21. Additional issues for consideration relating to the content and performance characteristics of the system are identified in the annex below.

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[2] There are several groups of "users" with different roles and levels of permission: administrators, secretariat staff, Parties and public users.

[3] Some of these features are under development and have limited function. Therefore, please visit the technology information system on the Internet regularly.

Annex

POSSIBLE ISSUES TO BE ADDRESSED BY THE SBSTA

I. QUESTIONS RELATING TO THE CONTENT OF THE TECHNOLOGY INFORMATION SYSTEM

1. Is the technology inventory providing information that is useful? Is this information sufficiently up to date? What additional information should be added to the projects and technologies databases? What technologies/sectors should be given priority? What additional web sites should be made available to the search engine?

2. Can the criteria previously identified by Parties as important in selecting national projects be used to determine which projects should be included in the database, or should other criteria be used? [4]

3. Little specific information is available on adaptation technology projects and practices. Should the collection of additional information relating to adaptation technologies be given a priority. If so, for which sectors?

4. Should a process be developed to receive information from Parties on a regular basis?

5. What analytical tools should be added and for what purposes (e.g. to make simplified cost estimations)?

6. What sources of information should be used? Should information provided by NGOs, the business community and journals be included?

7. Is a "news" service needed? If yes, what should this service provide?

II. QUESTIONS RELATING TO THE PERFORMANCE OF THE TECHNOLOGY INFORMATION SYSTEM

1. Is the speed of the search engine acceptable?

2. Is the capability to do side-by-side comparisons of technologies useful? Should other tools be developed to compare technologies?

3. Is the technology transfer web message board an appropriate means for exchanging experiences and sharing technological know-how?

4. Is the capability to search for UNFCCC documents relating to the development and transfer of technologies adequate?

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[4] FCCC/SBSTA/1998/INF.5, paragraph 14 (a): "Five criteria were suggested by the Parties as potentially important in selecting environmentally sound technologies: financial (availability of low-interest loans, multilateral aid, commercial credit, and grants), economic (investment cost and profitability of technologies considered), technical (reliability, ease of operation, and maintenance and service infrastructure for technologies considered), social (acceptability, contribution to poverty alleviation, and impact on gender relations of technologies considered), and environmental (reducing emissions levels, enhancing capture of greenhouse gases in sinks, contribution to solving present environmental problems and possible environmental tradeoffs)."

5. Is the information dissemination through the Internet sufficient? Is there a need to distribute information on CD-ROMs, diskettes and/or by newsletter?

6. Do the capabilities of the search engine meet your expectations? If not, what capabilities should be added and/or modified?

Appendix

LIST OF ABBREVIATIONS

CADDET	Centre for Analysis and Dissemination of Demonstrated Energy Technologies
CIDA	Canadian International Development Agency
CRS	Creditor Reporting System
CTI	Climate Technology Initiative
DAC	Development Assistance Committee of the Organisation for Economic Co-operation and Development
DoE	United States Department of Energy
EIA	United States Energy Information Administration
EPA	United States Environmental Protection Agency
EST	Environmentally Sound Technologies
EU	European Union
Gateway	Development Gateway (World Bank)
GEF	Global Environmental Facility
Greentie	Greenhouse Gas Technology Information Exchange
IEA	International Energy Agency
IETC	International Environmental Technology Centre (UNEP)
IPCC	Intergovernmental Panel on Climate Change
IEAGHG	IEA Greenhouse Gas R&D Programme
OECD	Organisation for Economic Co-operation and Development
maESTro	a searchable EST database developed by UNEP/IETC
NEDO	New Energy and Industrial Technology Development Organization
NREL	United States National Renewable Energy Laboratory
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
URL	Uniform Resource Locator, an address of a web-page or any other file on the Internet
USAID	United States Agency for International Development

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METHODOLOGICAL ISSUES

ONGOING ACTIVITIES ON REPORTING AND REVIEW OF GREENHOUSE GAS INVENTORIES IN PARTIES INCLUDED IN ANNEX I TO THE CONVENTION (IMPLEMENTING DECISIONS 3/CP.5 AND 6/CP.5)

Report on the use of the UNFCCC reporting guidelines on annual inventories

Note by the secretariat

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I. INTRODUCTION

A. Mandate

1. By its decision 3/CP.5, the Conference of the Parties (COP) adopted guidelines for the preparation of national communications by Parties included in Annex I to the Convention (Annex I Parties), Part I: UNFCCC reporting guidelines on annual inventories (hereinafter referred to as "the reporting guidelines") to be used for reporting inventories due by 15 April each year beginning in the year 2000. The subsidiary bodies, at their tenth sessions, set up a two-year trial period beginning in 2000 to assess these guidelines.[1] The full texts of the reporting guidelines and decision 3/CP.5 are contained in document FCCC/CP/1999/7.

2. By its decision 3/CP.5, the COP requested the secretariat to prepare a report on the use of these guidelines, in particular the common reporting format (CRF), taking into account, *inter alia*, experience gained by Parties in using those guidelines, by the secretariat in processing the CRF, and input from the Intergovernmental Panel on Climate Change (IPCC).[2] The report is to be presented to the Subsidiary Body for Scientific and Technological Advice (SBSTA) at its fifteenth session for consideration of possible revisions to the guidelines, particularly the CRF, with a view to revising them at the seventh session of the COP.

3. The COP, by its decision 3/CP.5, also invited Annex I Parties to submit by 1 July 2001 information to the secretariat on experience with using the reporting guidelines, in particular the CRF, in the years 2000-2001. Parties not using the sectoral background data tables 5.A to 5.D on land-use change and forestry (LUCF) of the CRF were requested by the SBSTA at its tenth session (FCCC/SBSTA/1999/6, para. 27 (g)), to specify alternative formats and submit them to the secretariat by the same date. Both submissions on experience gained using the reporting guidelines and alternative formats for sectoral background data tables on LUCF are reproduced in document FCCC/SBSTA/2001/MISC.4.[3]

4. In other sessions, the SBSTA made additional requests in relation to the reporting guidelines. At its eleventh session, it requested the secretariat to include in any report on the experience of Parties using the CRF information on the reporting of emissions based upon fuel sold to ships and aircraft engaged in international transport (FCCC/SBSTA/1999/14, para. 56 (d)). At its twelfth session, it requested that, in preparing the above-mentioned report, the secretariat consider whether any modifications to these guidelines are needed to reflect the IPCC good practice guidance[4] (FCCC/SBSTA/2000/5, para. 48 (f)).

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[1] For the relevant conclusions of the SBI and the SBSTA at their tenth sessions, see documents FCCC/SBI/1999/8, paragraph 26 (c) and FCCC/SBSTA/1999/6, paragraph 27 (b), respectively.

[2] A draft of this note was sent to the IPCC for consideration. Comments on this note by the IPCC will be compiled in a miscellaneous document and made available for the fifteenth session of the SBSTA.

[3] The secretariat received six submissions on experience in the use of the reporting guidelines and the CRF, which in total represented views of 32 Annex I Parties, and two separate submissions on alternative formats for sectoral background data tables on LUCF.

[4] The IPCC *Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories* is referred to as the "IPCC good practice guidance" in this document.

B. Background

5. Information provided in this note and its addendum (FCCC/SBSTA/2001/5/Add.1) is a result of the experience gained by Parties in using the reporting guidelines and completing the CRF, and the experience gained by the secretariat when processing the inventories in the context of the technical review of greenhouse gas (GHG) inventories,[5] as well as by experts from the UNFCCC roster involved in the technical review process. The experience gained by the secretariat has benefited from the outcome of each stage of the review process (initial checks, synthesis and assessment and individual reviews of GHG inventories) that were undertaken in the course of this year for the inventories submitted in 2000.

6. When considering the information presented in this note and its addendum it is necessary to bear in mind that the reporting guidelines were adopted in November 1999, when many Parties were already in the process of preparing their 2000 inventory submission, thus leaving little time for the full implementation of the reporting guidelines for use on the first occasion. The degree of completeness of those submissions was therefore limited for many Parties.

7. In their 2001 submissions, reporting by Parties has significantly improved, both in terms of completeness and quality. However, at the time this report was written, the only review activity carried out for the 2001 submissions was the preparation of the status reports; neither has the synthesis and assessment been completed, nor have inventories of that submission year been reviewed individually.

8. The IPCC report on *Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories* was released in May 2000. Given that Annex I Parties might begin to apply the IPCC good practice guidance starting with the inventories submitted in 2001,[6] the experience and information available is limited to one year.

9. For the reasons outlined in paragraphs 6 to 8 above, the information given in this note and its addendum should be regarded as preliminary. A better assessment of the experience gained by Parties and the secretariat with the use of these guidelines will only be possible after the technical review of the 2001 submissions has been completed.

10. The secretariat is planning to organize an expert meeting on methodological and operational issues relating to the use of the reporting and review guidelines in the first week of December 2001, with the participation of experts from the UNFCCC roster who have participated in the preparation of GHG inventories using the reporting guidelines and/or who have participated in the technical review of GHG inventories during 2001.

11. The aim of this expert meeting will be to obtain technical input and to share experience gained during the trial period in the use of the reporting and review guidelines. It is anticipated that, by December, technical reviews of the 2001 submissions would be almost completed.

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[5] By its decision 6/CP.5, the COP adopted guidelines for the technical review of greenhouse gas inventories from Annex I Parties (review guidelines) for a trial period covering inventory submissions due in 2000 and 2001. The full texts of the review guidelines and decision 6/CP.5 are contained in document FCCC/CP/1999/7.

[6] The SBSTA, at its twelfth session, concluded that the IPCC good practice guidance should be applied by Annex I Parties to the extent possible for inventories due in 2001 and 2002 and should be used for inventories due in 2003 and beyond. Annex I Parties with economies in transition may phase in the IPCC good practice guidance two years later than other Annex I Parties.

C. Scope of the note

12. The present note and its addendum is a preliminary response to the mandate mentioned in paragraph 2 above. These documents contain a compilation of views from Parties on the use of the reporting guidelines, a brief summary of the experience gained by the secretariat, and questions that would need clarification prior to any revision of the guidelines. The information provided in these documents does not take into account the full experience from the review process of the entire trial period. It aims to facilitate the initial consideration of possible revisions to the reporting guidelines, including the CRF. It does not make specific recommendations for revision of those guidelines, nor does it analyse in detail views from Parties. Instead, the note and its addendum compile these views, mainly on selected cross-cutting issues relating to the reporting of inventories, and raises questions that would need clarification prior to any revision of the guidelines, including the CRF.

13. Mandates mentioned in paragraph 4 are currently only addressable in part. This note and its addendum provide some information on the reporting of bunker fuel emissions in the CRF on the basis of information processed and reviewed so far, that is, the 2000 inventory submissions. As for consideration of possible modifications to the reporting guidelines in order to reflect the IPCC good practice guidance, this note and its addendum only address some of the suggestions by Parties as contained in document FCCC/SBSTA/2001/MISC.4 and preliminary experience by the secretariat that may be relevant in the consideration of this issue in any revision of the guidelines.

14. It is anticipated that the information provided in the present note and its addendum will be complemented with additional experience gained during the ongoing technical review of the 2001 inventory submissions.[7] In particular, the outcome of the expert meeting mentioned in paragraph 10 is expected to complement significantly the experience gained and information available so far. The same is expected for the forthcoming submissions on Parties' experience with using the IPCC good practice guidance in preparing their 2001 inventory submissions.[8]

15. This note and its addendum should be read taking into consideration submissions from Parties as contained in document FCCC/SBSTA/2001/MISC.4. It is also recommended that document FCCC/SBI/2001/12 be taken into consideration, since it provides information on the technical review process, given its close connection with the assessment of the use of the reporting guidelines.

D. Approach

16. The secretariat prepared its report to the SBSTA on the use of the reporting guidelines, in particular the CRF, in two parts:

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[7] The secretariat intends to prepare a working paper with relevant information resulting from the technical review of the 2001 inventory submissions for the expert meeting on methodological and operational issues relating to the use of the reporting and review guidelines mentioned in paragraph 10.

[8] The SBSTA, at its twelfth session, invited Annex I Parties to submit information on their experience with using the IPCC good practice guidance in preparing their 2001 inventory submission, by 15 August 2001, to be considered by the SBSTA at its fifteenth session. Submissions by Parties on this matter are compiled in document FCCC/SBSTA/2001/MISC.5.

(a) First, a main document that covers sections entitled *Introduction*, *Preliminary results with the use of the reporting guidelines* and *Future work*, which are contained in this note. This includes an overview of the inventory submissions received in 2000 and 2001 and of the extent to which information has been provided according to the reporting guidelines. In addition, it contains introductory information on the experience gained in using the guidelines, including the CRF, which is expanded in detail in the addendum to this main document, as described in paragraphs 17 and 18 below;

(b) Second, an addendum to this document that contains information on the experience gained in using the reporting guidelines, including the CRF. The information is provided in a separate document due to its technical and detailed nature.

17. The addendum notes the main issues as identified in submissions from Parties based on their experience in preparing their 2000 and 2001 inventory submissions, and, where appropriate, experience gained by the secretariat based on the technical review of the 2000 submissions, and, to a very limited extent, 2001 submissions. Issues addressed are introduced by brief background information, followed by the experiences of Parties and the secretariat. Questions on those issues, which would need clarification prior to any revision of the guidelines, have been identified. These questions have been prepared in order to facilitate the consideration of any revision of the guidelines, taking into account suggestions made by Parties and the experience of the secretariat. They are not comprehensive and therefore do not prejudge the consideration of any other issues which might also require clarification prior to any revision of the guidelines.

18. For the purpose of this report, issues addressed by Parties have been classified as follows:

(a) Cross-cutting issues in the reporting guidelines;

(b) Issues relating to the national inventory report (NIR);

(c) Issues relating to the CRF;

(d) Issues relating to the IPCC good practice guidance; and

(e) Technical and software issues pertaining to the CRF.

E. Possible action by the SBSTA

19. The SBSTA may wish to take note of the information in this report with a view to assessing the experience gained so far on the reporting guidelines, including the CRF.

20. The SBSTA may wish to consider revisions to the reporting guidelines at its sixteenth rather than its fifteenth session with a view to recommending a decision to the COP at its eighth rather than its seventh session. The SBSTA may also wish to consider deferring the questions in the addendum for initial consideration to the participants attending the expert meeting mentioned in paragraph 10. This would allow consideration of the additional information from the ongoing review of inventories submitted in 2001. In this case, the SBSTA may also wish to consider an extension of the trial period referred to in paragraph 1 above for one more year.

II. PRELIMINARY RESULTS WITH THE USE OF THE REPORTING GUIDELINES

21. Parties expressed their generally positive experiences with the reporting guidelines and the CRF. Some Parties explicitly noted that the reporting guidelines have improved the standard of reporting inventory information, in particular the CRF, which provides a solid framework for comparing inventory data across Parties and over time-series. The CRF has also proven useful in ensuring that Parties report in a consistent and comparable manner. Some Parties found the CRF to be an extremely useful tool for reviewers and other users of inventory data.

22. Parties, however, also recognized the high demand on resources required to complete the CRF tables. They provided numerous and detailed comments on their experience in using the guidelines and the CRF, as well as suggestions on how to overcome identified problems. This information is presented in detail in the addendum to this document, as indicated in paragraph 16 (b) above.

A. Submission of inventories

23. The reporting guidelines, including the CRF, have contributed significantly to the timeliness of reporting of inventories by Annex I Parties. In addition, adherence to the guidelines has markedly improved the quality and completeness of the latest submissions (year 2001) as compared to previous years' submissions (see tables 1 and 2).

Table 1. Timeliness in submitting greenhouse gas inventories since 1998

Year of submission	Cumulative total number of submissions		
	By 15 April	By 31 July	By 31 December
1998	4	12	21
1999	5	21	28
2000 All (*CRF*)	10 (*9*)	28 (*22*)	32 (*24*)
2001 All (*CRF*)	20 (*19*)	32 (*30*)	-

Table 2. Inventory years reported in the common reporting format and the provision of national inventory reports in 2000 and 2001

Provision of CRF / NIR	2000 (by 31 December 2000)	2001 (by 31 July 2001)
Total CRF submissions	24	30
CRF for entire time series	5 (1990-1998)	14[a] (1990-1999)
CRF for one or more years	12	11
Partial CRF data for one or more years	7	5
NIR submissions	8	15

24. Parties adhered more closely to the official due date (15 April) since the adoption of the reporting guidelines, as compared to inventories submitted prior to 2000. In 1998 and 1999 only 11 and 13 per cent of the inventories were received by 15 April, but this figure increased to almost 25 and 50 per cent for the submissions received in the CRF in 2000 and 2001.

[a] Includes also those Parties which had provided data for the entire time-series 1990 to 1998 in their 2000 submission although they provided only a 1999 CRF in their 2001 submission.

respectively (see table 1). However, five Parties initially submitted only a preliminary version of their inventories in 2001. A revised or final version was sent at a later stage, when the processing of the data for the review activities had already begun. In such cases, the preparation of the status reports was unexpectedly delayed.

25. The quality and completeness of the reporting has also improved. The number of Parties providing the CRF for the entire time-series 1990 to 1998/1999 and providing a national inventory report substantially increased between 2000 and 2001 (see table 2); this can mainly be attributed to the experience gained since their first CRF submission in 2000, and the additional time available for preparing the 2001 submission.

26. Reporting of inventories by all Annex I Parties according to the reporting guidelines is, however, still not complete. At the end of July 2001, six Parties had not yet submitted an inventory at all since adoption of the reporting guidelines. Another three Parties had not yet started to report according to the new reporting guidelines; for example, they only provided the IPCC Sectoral and/or Summary tables. Even among Parties using the reporting guidelines, including the CRF, all the information requested by the guidelines was not always provided: in many cases submissions included the CRF for one or two years only, included only a limited number of CRF tables, or lacked the national inventory report (NIR) (see tables 1 and 2). Information on individual Parties' submissions is provided in the annex to this note.

B. Use of common reporting format tables

27. While a significant number of Annex I Parties are using the CRF, many Parties do not provide all the information required by the CRF and the guidelines. This applies both to the number of CRF tables provided within one CRF, as well as to the degree to which each individual table of the CRF has been completed. As is shown in the status reports, the reporting of individual CRF tables is still limited for some Parties (for the status reports see the UNFCCC web site: http://www.unfccc.int/resource/ghg/tempemis2.html).

28. An overview of the extent to which individual tables in the CRF are provided by Parties is depicted in table 3. In preparing this table, a CRF table was considered as being "reported" if it contained numerical values. This approach was taken to allow a clear understanding of the actual use of each individual table by Parties. It is understood that, for sectoral background data tables on source categories such as metal, halocarbons and SF_6 production; consumption of halocarbons and SF_6; rice cultivation; savanna burning; field burning of agricultural residues; and waste incineration, a low level of reporting is generally not a result of lack of reporting, but due to the fact that a certain activity may not be occurring in a given country as indicated by many Parties by using the indicator "NO" in those tables.

29. An indication as to the completeness and level of disaggregation of reporting within each individual CRF table, can however, not be deduced from table 3. To obtain data on the degree of reporting information at the highest level of disaggregation, the secretariat is currently compiling statistical information on the use of the CRF at the level of individual cells of the CRF. This information might facilitate the understanding of the use of each bit of information requested in the CRF, and will be available later this year. Detailed information on how each Party has followed the reporting guidelines can be found in the synthesis and assessment reports of GHG

inventories submitted in 2000 and 2001 (FCCC/WEB/SAI/2000 and FCCC/WEB/SAI/2001,[9] respectively) on the UNFCCC web site: http://www.unfccc.int/resource/ghg/tempemis2.html.

[9] The synthesis and assessment report of GHG inventories submitted in 2001 (FCCC/WEB/SAI/2001) might not be completed by the time this note is issued. The secretariat intends to issue it for the fifteenth session of the SBSTA.

Table 3. Degree of use of common reporting format tables by Parties

Submission year		**2000**	**2001**
Inventory year		*1998*	*1999*
Summary and other tables		*Percentage of CRF reporting Parties*	
		(total: 23)[a]	*(total: 29)*[a]
Summary 1.A		100	100
Summary 1.B		100	97
Summary 2		100	97
Summary 3 (Methods and emission factors used)		83	83
Table 7 Overview table		74	76
Tables 8(a) and 8(b) Recalculations [b]		43	55
Table 9 Completeness		74	76
Table 10 Trends		78	86
Table 11 Checklist		83	90
Sectoral reports			
Table 1 Energy		96	93
Table 2(I) Industrial processes		96	93
Table 2(II) Industrial processes – HFCs, PFCs and SF_6		78	93
Table 3 Solvent and other product use		91	90
Table 4 Agriculture		96	93
Table 5 Land-use change and forestry		87	90
Table 6 Waste		96	93
Sectoral background data tables			
Energy	1A(a) – Sectoral approach	87	90
	1A(b) – Reference approach	87	90
	1A(d) – Feedstocks	83	76
	1B1 – Fugitive: solid fuels	65	72
	1B2 – Fugitive: oil and natural gas	87	83
	1C – Bunker fuels	83	79
Industrial processes	2(I) A-G – CO_2, CH_4 and N_2O	91	86
	2(II)C,E – Metal, halocarbons and SF_6 production [c]	61	62
	2(II)F – Consumption of halocarbons and SF_6 [c]	30	41
Solvents	3 A-D – Solvent and other product use	70	69
Agriculture	4A – Enteric fermentation	83	86
	4B(a) – CH_4 from manure management	78	86
	4B(b) – N_2O from manure management	74	83
	4C – Rice cultivation [c]	30	31
	4D – Agricultural soils	83	83
	4E – Savanna burning [c]	4	3
	4F – Field burning of agricultural residues [c]	43	41
LUCF [d]	5A – Changes in forest and other woody biomass stocks	48	48
	5B – Forest and grassland conversion	17	24
	5C – Abandonment of managed lands	17	17
	5D – CO_2 emissions and removals from soils	22	31
Waste	6A – Solid waste disposal	91	86
	6B – Waste water handling	78	79
	6C – Waste incineration [c]	43	52

Notes:
Information in this table is based on inventory submissions received by 31 July 2001.
The percentages reflect the number of those Parties using the CRF that have actually used a given table by providing numerical information; cases in which only standard indicators were used to fill in a table were not taken into account in these percentage values.

[a] One Party only submitted tables Summary 1.A and 2 of the CRF. This submission is not included in the totals presented in this table.

[b] Percentage values given for the tables on recalculation refer to the entire submissions, irrespective of the years recalculated.

[c] The low degree of reporting CRF tables on these source-categories is to a large extent a result of the fact that the corresponding activities may not occur in many reporting countries.

[d] According to the reporting guidelines, sectoral background data tables on LUCF should be filled in only by Parties that use the IPCC default methodology. Parties that provided alternative tables in their NIR are not taken into account in the percentage values given in this table.

III. FUTURE WORK

30. A process may need to be established to address the issues outlined in detail in the addendum to this document, in particular in relation to the CRF. Parties may wish to provide guidance on such a process, taking into account possible considerations of the SBSTA at its fifteenth and sixteenth sessions and deliberations at the expert meeting mentioned in paragraph 10 above.

31. The following questions may have to be addressed:

(a) What process should be established for dealing with all identified issues?

(i) How should the outputs of the expert meeting be taken into account in this process?

(ii) How should, during the process of incorporating technical fixes suggested by Parties into the existing/new CRF software application, information be shared between Parties and the secretariat?

(b) Which amendments to the guidelines, including the CRF, have to be deferred until the SBSTA considers the revision of the guidelines?

Annex

Provision of inventories according to the reporting guidelines (as at 31 July 2001)

Party	Format used	Years/period covered by the submission		NIR	Electronic (E) / Hard copy (H)	Comments
Submission:	**2000/2001**	**2000**	**2001**	**2000/2001**		
Australia	CRF/CRF	1990-1998	1990, 1999	yes/yes	E, H	
Austria	CRF/CRF	1998	1990-1999	- /yes	E	*IPCC sectoral tables for 1990-1998 (2000 submission)*
Belarus[a]	na/ -	na	-	na/-	-	
Belgium	CRF/CRF	1995-1998	1998, 1999	-/-	E, H	*1995-1996 CRFs only cover HFCs, PFCs and SF_6*
Bulgaria	CRF/CRF	1998	1999	-/yes	E, H	
Canada	CRF/CRF	1990, 1998	1990-1999	yes/yes	E, H	
Croatia	-/-	-	-	-/-	-	
Czech Republic	CRF/CRF	1998	1999	-/-	E	
Denmark	IPCC sectoral tables/CRF	1990-1998	1990-1999	na/yes	E, H	
European Community	CRF Summary 1.A and 2/CRF Summary 1.A[b, c]	1990-1998	1990-1999	yes/yes	E, H	
Estonia	-/CRF	-	1999	-/-	E	
Finland	CRF/CRF	1990, 1998	1990-1999	-/yes	E, H	
France	IPCC sectoral tables/CRF	1990-1998	1990-1999	na/yes	E, H	
Germany	IPCC summary tables/CRF[b]	1990-1998	1990-1999	na/-	E, H	*Partial CRFs 1990-1999 (2001 submission)*
Greece	CRF/CRF	1990-1998	1990-1999	yes/-	E, H	*Partial CRFs 1990-1997 (2000 submission)*
Hungary	CRF/CRF	1998	1999	-/-	E, H	*Other tables for 1991-1997 (2000 submission)*
Iceland	IPCC sectoral tables/CRF	1990-1998	1999	na/-	E	
Ireland	CRF/CRF	1998	1999	-/-	E, H	
Italy	CRF/CRF	1998	1998-1999	-/-	E	*IPCC sectoral tables for 1990-1997 (2000 submission)*

Japan	CRF/CRF	1990-1998	1990-1999	yes[d]/-	E	
Latvia	CRF/CRF	1998	1999	-/yes	E	
Liechtenstein	-/-	-	-	-/-	-	
Lithuania	CRF/ -	1998	-	-/-	E	
Luxembourg	-/CRF	-	1999	-/-	E, H	*Limited number of CRF tables*
Monaco	IPCC Summary tables/ IPCC Summary tables	1990-1998	1990-1999	na/na	E, H	
Netherlands	CRF/CRF	1990-1998	1990-1999	yes/yes	E, H	
New Zealand	CRF/CRF	1990-1998	1999	yes/yes	E, H	
Norway	CRF/CRF	1998	1990, 1999	yes/yes	E	
Poland	IPCC Summary tables/ IPCC Summary tables	1998	1999	na/na	E, fax	
Portugal	IPCC Sectoral tables/CRF	1990-1998	1990-1999	na/-	E, H	
Romania	-/-	-	-	-/-	-	
Russian Federation	IPCC Sectoral tables/ -	1995-1996	-	na/-	E, H	
Slovakia	CRF/CRF	1998	1999	-/-	E, H	
Slovenia	-/-	-	-	-/-	-	
Spain	CRF/CRF	1990-1998	1990-1999	-/yes	E, H	*Partial CRFs (both submissions)*
Sweden	CRF/CRF	1998	1990-1999	-/yes	E, H	*IPCC sectoral tables for 1990-1997 (2000 submission)*
Switzerland	CRF/CRF	1998	1999	-/-	E, H	
Ukraine	-/-	-	-	-/-	-	
United Kingdom of Great Britain and Northern Ireland	CRF/CRF	1990-1998	1990-1999	yes/yes	E, H	
United States of America	CRF/CRF	1990-1998	1990-1999	yes/yes	E, H	

na: not applicable

[a] Belarus ratified the Convention on 11 May 2000. The first inventory was due on 15 April 2001.

[b] This Party, although following the CRF format, did not use the CRF software application to report its inventory.

[c] In addition, the submission of the European Community included inventory data in the CRF or other formats, for 14 member States.

[d] An NIR was not submitted at the time of submitting the CRF. However, Japan submitted background data for its GHG inventory to be used during the centralized review of the 2000 inventory submission held in May 2001, which according to the Party, constituted its NIR.

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METHODOLOGICAL ISSUES

ONGOING ACTIVITIES ON REPORTING AND REVIEW OF GREENHOUSE GAS INVENTORIES IN PARTIES INCLUDED IN ANNEX I TO THE CONVENTION (IMPLEMENTING DECISIONS 3/CP.5 AND 6/CP.5)

Report on the use of the UNFCCC reporting guidelines on annual inventories

Note by the secretariat

Addendum

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I. INTRODUCTION

1. This addendum should be read in conjunction with the main body of this report (FCCC/SBSTA/2001/5), which contains sections entitled *Introduction*, *Preliminary results with the use of the reporting guidelines* and *Future work*. It also includes an overview of the inventory submissions received in 2000 and 2001 from Parties included in Annex I to the Convention (Annex I Parties) and of the extent to which information has been provided according to the reporting guidelines.[1]

2. This addendum contains information on the experience in using the reporting guidelines, including the common reporting format (CRF). The information is provided in this separate document as an addendum because of its technical and detailed nature. It focuses on experience gained with, and current problems in the use of, the reporting guidelines as identified in submissions from Parties based on their experience in preparing their 2000 and 2001 inventory submissions, and the experience gained by the secretariat based on the technical review of inventories submitted in 2000 and, to a very limited extent, those inventories submitted in 2001. This addendum and its main document should be read taking into consideration the submissions from Parties contained in document FCCC/SBSTA/2001/MISC.4.

3. The discussion that follows notes issues addressed by Parties and, where appropriate, by the secretariat, and raises questions which would require clarification prior to any revision of the guidelines and the CRF. These questions have been prepared in order to facilitate the consideration of any revision of the guidelines, taking into account information available so far. They are not comprehensive and therefore do not prejudge the consideration of any other issues which might also deserve clarification prior to any revision of the guidelines.

4. For the purpose of this report, issues addressed by Parties have been classified as follows:

(a) Cross-cutting issues in the reporting guidelines;

(b) Issues relating to the national inventory report (NIR);

(c) Issues relating to the CRF;

(d) Issues relating to the Intergovernmental Panel on Climate Change (IPCC) good practice guidance;[2]

(e) Technical and software issues pertaining to the CRF.

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[1] The guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual inventories (see FCCC/CP/1999/7) are referred to as "the reporting guidelines" in this document.

[2] The IPCC *Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories* is referred to as the "IPCC good practice guidance" in this document.

II. EXPERIENCE WITH THE USE OF THE REPORTING GUIDELINES

A. Cross-cutting issues in the reporting guidelines

1. Annual reporting of all inventory years from the base year to the year of current annual inventory submission

Background:

5. The reporting guidelines currently request that Parties submit a national inventory report containing detailed and complete information on their inventories, including, *inter alia*, the CRF and calculation sheets containing disaggregated national emission factors and activity data, for all years from the base year to the year of current annual inventory submission. The CRF should be submitted in both electronic and hard copy form, while the NIR should be submitted either as a printed document or electronically.

Experience of Parties:

6. Recognizing the need for reporting detailed inventory information, some Parties stated that:

(a) Under the current guidelines, the reporting requirements will increase annually from the base year inventory, resulting in a very large amount of data;

(b) Submitting inventories annually for the entire time-series would be of little value once a complete submission covering all years was made, when there had been no changes in the methodologies or underlying data;

(c) The need to supply all information annually for the entire time-series should be clarified and possibly re-examined;

(d) Provision of the CRF for multiple years results in a large amount of repetitive information within an annual submission;

(e) Provision of all or part of this information as a printed document might become impractical.

Experience of the secretariat:

7. Some Parties, in their annual inventory submissions, provide the CRF only for the latest inventory year, but refer to the previous year's submission for CRFs of the entire time-series, mentioning that no substantive changes had been made. It is not sufficiently clear whether or not the secretariat and expert review teams should consider this as an omission in the reporting. If not, it would be necessary for the Parties to indicate clearly the validity of the previous years' data for performing analyses on time-series.

8. More frequently, Parties submitted only the latest inventory year, but did not make any references to earlier submissions. In other cases, Parties provided recalculated estimates (table 8 of the CRF) without providing the CRFs for those recalculated years, thus limiting any analysis of time-series.

9. Reporting of redundant information increases requirements for data and information processing, and the maintenance thereof.

10. *Questions:*

Does the current guidance on the annual reporting requirements need to be changed? If so,

- Should the CRF and calculation sheets for the entire time-series be provided only when there have been recalculations or revisions?
  - If so, should the provision of the CRF and calculation sheets be limited to those years that have been recalculated or revised?
  - Should the provision of calculation sheets be limited to those sectors for which the methodology or data have changed (but the CRF still be provided in its entirety for the years affected by recalculations)?
  - Once the entire time-series, including the base year, has been submitted and data has not been recalculated/revised should, in addition to the latest inventory year, full annual reporting be required for any other year, e.g. the base year and/or the previous year (latest reported inventory year – 1)?
- Should there be a subset of CRF tables which are submitted only once within a submission, even if multiple inventory years are covered in the submission? If so, which tables should such a subset include? (For example, Summary 3 on methods and emission factors used, table 7 Overview, table 8(b) Explanatory information on recalculations, table 9 Completeness, table 10 Emission trends, table 11 Check list)?
- Should the entire CRF and calculation sheets for all requested inventory years, as appropriate, always be provided in both electronic form and hard copy? Or should a distinction be made between information to be submitted electronically and that to be submitted in hard copy (for instance, a distinction according to inventory years and/or types of tables)?

2. Recalculations

Background:

11. The current reporting guidelines refer to recalculations as a result of changes in methodologies or in the manner in which underlying activity data and emission factors are gathered. Recalculations should result in improvements in the accuracy and completeness of the inventory and should ensure consistency in the time-series.

Experience of Parties:

12. One Party highlighted the usefulness of recalculation tables for the ease and transparency of reporting recalculated estimates. Some Parties, however, noted that:

(a) The guidelines should clarify further what is considered as recalculation;

(b) Recalculations are currently recorded only in terms of CO_2 equivalent, without reflecting the impact of each single recalculation on the total inventory.

Experience of the secretariat:

13. The information given in the recalculation tables did not always correspond to the information actually reported in the previous years' submission as recorded by the secretariat. This was due either to recalculated estimates being omitted in the recalculation table, or to changes in the estimates being considered as minor revisions only, and not as recalculations.

14. *Questions*:

- Should minor changes since the previous inventory submission, such as corrections of transcription errors or minor revisions in national statistics, be considered as recalculations? If not, where and how should such changes or revisions of the data be recorded and explained, and processed by the secretariat?
- Should the differences in recalculated data be expressed also with respect to national total emissions in order to highlight those recalculations which have a major impact on the total inventory?

3. Precursor gases

Background:

15. The current guidelines state: "Parties should provide information on the indirect greenhouse gases CO, NO_x, NMVOC, and are encouraged to provide information on SO_2". The CRF tables require the reporting of such gases only at the level of sectoral reports and summary tables, but not at the level of sectoral background data tables. Reporting requirements are therefore lower than for the direct greenhouse gases (GHGs), which results in, for example, no implied emission factors (IEFs) being calculated for these gases.

16. Parties agreed during negotiations on the development of the CRF that precursor gases should not be included in the sectoral background data tables, the main reason for this provision being that the information in the sectoral background data tables, such as activity data and IEFs, would be used only for reviewing estimates of direct GHGs. Furthermore, it was agreed that sectoral reports should follow as closely as possible the sectoral reports of the Revised 1996 IPCC Guidelines for National Greenhouse Gas Inventories (hereinafter referred to as the IPCC Guidelines) as long as the reporting transparency for the direct GHGs is not affected. This defined the coverage of gases in each sectoral report table. Since the development of the CRF, the IPCC Third Assessment Report has provided additional information on the role of the ozone troposphere and aerosols, which may need to be taken into consideration.

Experience of Parties:

17. Some Parties expressed the view that

(a) The reporting obligations for these gases are not sufficiently clear;

(b) For some source/sink categories there are no provisions for reporting some of the precursors in the sectoral reports, although they should be reported in table Summary 1.A;

(c) The calculation of IEFs in sectoral background data tables is lacking.

18. *Questions:*

Should the current reporting requirements for precursors be changed? If so,

- Should the CRF reflect any differences between strict and less strict reporting requirements for these gases as compared to the direct GHGs?
- Should, where relevant, the reporting of all precursor gases be requested in the sectoral reports as a minimum? Or should reporting of precursor gases even be included in the sectoral background data tables calling for information on activity data and calculation of IEFs?

B. Issues relating to the national inventory report

1. Information required in the national inventory report

Background:

19. Items (a) to (j) of paragraph 33 of the reporting guidelines indicate the reporting requirements under the NIR, such as descriptions of methodologies and assumptions used in each sector. It is important to note the different levels of experience among Parties in preparing national inventory reports, some of them benefiting from long experience in inventory development and the preparation of inventory reports.

Experience of Parties:

20. One Party highlighted the NIR as a key element for ensuring transparency in reporting, while allowing flexibility to accommodate country-specific circumstances. Regarding the current guidance, some Parties recognized that

(a) The guidelines need to be clearer with regard to the NIR, which would be helpful both to Parties compiling the NIR and to reviewers of the inventory;

(b) Some Parties using country-specific methodologies document their methodologies in separate reports.

Experience of the secretariat:

21. The first year of experience gained with the technical review of inventories has demonstrated that without an NIR, inventories are not transparent and expert review teams have more difficulty in fulfilling their task; the NIRs are generally proving to be an excellent supplement to the CRF. For the submissions received in 2000 and in 2001, as at the time of writing, only one third and one half of the Parties respectively, also included an NIR in their submissions (see table 2 of the main document of this report (FCCC/SBSTA/2001/5)).

22. The scope and level of detail of the information provided in the NIR differs substantially across Parties; Parties seem to have different understandings of the content of the NIR.

23. Some CRF submissions are accompanied by additional documentation without being identified as the "national inventory report". It is not clear (1) how such information should be

considered within the review process, (2) what the criteria are for a report, or any other inventory information provided within a submission, to be considered as the "national inventory report".

24. *Questions*:

Should the current guidance on the NIR be changed? If so,

- Should the guidelines list more explicitly the elements to be included in the NIR?
- Should the guidelines define the structure it should have?
- What reporting requirements for the NIR should apply to Parties which document their methodologies in separate reports?

C. Issues relating to the common reporting format

1. General reporting requirements

Background:

25. The CRF consists mainly of summary, reporting and overview tables from the IPCC Guidelines, plus newly-developed sectoral background data tables calling for the reporting of aggregate activity data and other methodological information. Other newly-developed tables provide for reporting on recalculations, methods and emission factors used, completeness and trends.

Experience of Parties:

26. Regarding the current reporting requirements in the CRF, some Parties noted that

(a) In many cases the requested information was not used in the actual derivation of emission estimates, and was therefore often not available;

(b) No distinction is made in the CRF between the data actually used in the calculation of emission estimates and the data provided for information purposes only;

(c) In some cases, the CRF tables do not accommodate the amount of data that a country could provide if the variables in the CRF tables were to go beyond the variables used for IPCC methods;

(d) There is some duplication between the CRF and the NIR with regard to methodological information.

Experience of the secretariat:

27. The provision of detailed methodological information, as requested for example in some sectoral background data tables and in additional information boxes, has generally been low (see table 1 of this addendum).

28. *Questions:*

- Should the reporting requirements, in particular on additional methodological information, be re-evaluated on the basis of the data that was actually used during the review process? Should, for facilitating the review, data provided only for information purposes be distinguished from the data that was actually used in deriving emissions estimates?

2. Standard indicators

Background:

29. The guidelines currently request the use of standard indicators (NO, NE, NA, IE, C, 0)[3] to indicate source/sink categories not considered in the inventory but included in the IPCC Guidelines. These indicators should be used to fill the blanks in *all* the tables of an inventory. The notes to the CRF further indicate that Parties should complete *all cells* calling for emissions or removals estimates, activity data or emission factors. Table 9 of the CRF requires Parties to provide an explanation for each source/sink category for which "NE" or "IE" has been entered.

Experience of Parties:

30. Some Parties noted that the use of standard indicators may become important in the future. Specifically they noted that:

(a) More clarity could be provided in the reporting guidelines on the use of standard indicators;

(b) There are no directions on the use of indicators for category totals or totals in summary tables for which the underlying subcategories/categories have been labelled with different indicators (NE, NO etc.);

(c) When the indicator "NA" has been used, or if a cell has been left blank, no explanation is currently required in the completeness table (table 9);

(d) The current guidelines do not specify how to use indicators in individual tables in which no numerical values are required, such as Summary 3, where the use of standard indicators could be interpreted differently by Parties;

(e) The terminology for "standard indicator" is not used consistently throughout the guidelines and the CRF, and is in some cases referred to as "notation keys".

Experience of the secretariat:

31. Some Parties enter indicators under either activity data or emissions estimates or both; it is not clear whether entering indicators under one column only (under "estimates", for instance, thereby leaving cells for "activity data" blank) should be considered as a reporting gap.

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[3] Standard indicators to be used in the CRF where data are not entered are as follows: NO: not occurring, NE: not estimated, NA: not applicable, IE: included elsewhere, C: confidential, and 0: for emissions/removals of GHGs which are estimated to be less than one half the unit being used to record the inventory table and which appear as zero after rounding.

(a) Parties seem to consider the reporting requirements under the categories "other" differently, some of them entering indicators throughout all categories "other", while others use indicators only for the pre-defined source categories.

(b) Some Parties seem to use the indicator "0" for filling in blanks in the CRF. Not only might this practice reduce the transparency of the inventory but it could also hamper the proper processing of the data. The indicator "NA" often seems to be misused; review activities revealed that, in some cases, it had been used where "NE" or "NO" would have been more appropriate. Other Parties use indicators that are not defined in the reporting guidelines.

(c) When the indicator "0" is used, the actual amount of the gas is in most cases not accounted for in the totals (as requested by the guidelines) due to the fact that totals are calculated by the Excel software on the basis of the individual entries made into the CRF. If used for GHGs with high global warming potential values, amounts omitted from the inventory could be significant;

32. *Questions*:

Should the current guidance on the use of indicators be expanded to address all possible situations, for example,

- What rules should apply for the use of indicators in categories for which different indicators were used under the corresponding subcategories?
- Should Parties also be requested to explain the use of "NA" in the completeness table or to explain any cells left blank in the CRF?
- For categories for which the indicator "NO" is used, should there still be a requirement to fill in this information for that source in all tables of the CRF?
- Should specific guidance be developed for the use of indicators in individual tables, e.g. Summary 3, Overview table, Recalculation table, and for the categories "other"?
- Should "0" still be considered as an indicator?

Should the term "standard indicator" be replaced by "notation key"?

3. Additional information and documentation boxes

Background:

33. The notes on the CRF annexed to the reporting guidelines state that Parties should complete the data in the additional information boxes or use the indicator "not applicable" (NA) if the information called for is inappropriate for the methodology used by the Party. It is further stated that Parties should use the documentation boxes provided at the foot of the sectoral background data tables to improve clarity. In some cases, the footnotes to a table indicate what type of information should be provided in the corresponding documentation box.

Experience of Parties:

34. As noted by one Party, documentation boxes are extremely important for adding additional information for reviewers, particularly where non-default methodologies were used. Some Parties noted

(a) A lack of documentation boxes for some tables;

(b) A lack of guidance in relation to the use of documentation boxes;

(c) Too many requests for specific information when such information could be better reported in the NIR (such as finest level of livestock classification in the agriculture sector).

Experience of the secretariat:

35. The use of documentation boxes has in general been low, even in cases where the request for specific information is explicitly stated (see for example the use of documentation boxes on bunker fuel emissions, paragraph 56). The extent to which numerical information was provided in additional information boxes is shown in table 1 below.

Table 1. Extent of information provided in "additional information boxes" of the common reporting format

CRF table	Additional information on:	2000 submissions	2001 submissions
		Percentage of CRF reporting Parties	
1A(d) – Feedstocks	Source categories from which non-emitted CO_2 has been subtracted	0 - 39	0 - 26
1B1 – Fugitive: solid fuels	CH_4 recovery and numbers of mines	13 - 26	19 - 26
1B2 – Fugitive: oil and natural gas	Pipelines, oil and gas wells and throughput	17 - 26	15 - 22
4A – Enteric fermentation	Livestock parameters (for tier 2)	0 - 17	0 - 44
4B(a) – CH_4 from manure management	Parameters on animal waste management systems (for tier 2)	9 - 35	11 - 37
4D – Agricultural soils	Fractions of nitrogen	35 - 61	44 - 63
5B – Forest and grassland conversion	Fractions on biomass, burning, oxidation etc.	0 - 13	0 - 19
5D – CO_2 emissions and removals from soils	Soil types, climate	0	0 - 4
6A, C – Waste disposal and incineration	Waste composition and other parameters	0 - 61	0 - 67
6B – Waste-water handling	Parameters on waste water	0 - 39	0 - 52

36. *Questions*:

- Should more specific guidance be developed for reporting information in documentation boxes? How should duplication of methodological information provided in additional information and/or documentation boxes of the CRF and information provided in the NIR be avoided?

4. Shaded cells

Background:

37. In the CRF, grey shading of cells indicates cells in which no entries should be made because it is anticipated that no gases are expected to be emitted from a given activity.

Experience of Parties:

38. Some Parties noted that emissions estimates are indeed available for shaded cells in some cases; on the other hand the shadings are not consistently applied across the CRF tables.

Experience of the secretariat:

39. Some Parties report estimates in shaded cells, but due to the nature of the embedded formulae in the Excel software application, these estimates were often not included in the national totals. Other Parties, although not reporting values in shaded cells, reported their estimates in other cells (such as under the category "other"), which sometimes resulted in incorrect information for the category in question and for the national total. Conversely, there are cells in the CRF in which no data entries have been made so far by any Party.

40. *Questions*:

- Should, on the basis of the current reporting experience, the shading of specific source/sink categories be re-examined?

5. Reporting on methods and emission factors used

Background:

41. Summary 3 of the CRF calls for the provision of information on methods and emission factors used at the level of category disaggregation of IPCC summary tables. Specific notation keys to specify the methods and emission factors used were defined for the purpose of that table.

Experience of Parties:

42. Some Parties noted that

(a) The current definitions used to describe the methods and emission factors were not sufficiently precise (particularly those for distinguishing between country-specific methods/emission factors, and the use of a model method);

(b) Table Summary 3 does not require Parties to specify the tier used for their emission factors.

Experience of the secretariat:

43. The current level of aggregation of that table does not allow Parties to provide the information at the level of source category disaggregation at which methods and emission factors were actually applied, which reduces the usefulness of the information provided for the review process.

44. *Questions*:

Does the current Summary 3 need to be modified to allow for more transparent and detailed reporting on methods and emission factors used? If so,

- Should that table have a higher level of disaggregation? Should it also request indication of the tier for the emission factors used?
- Should additional guidance be provided as to the definitions for the specific notation keys used to describe the methods and emission factors used?

6. Issues relating to the energy sector

Background:

45. Parties are requested to compare their national CO_2 emissions estimates from fuel combustion with those estimates obtained using the reference approach. The CRF includes a table for directly comparing both actual CO_2 emissions and apparent energy consumption from the reference approach with the total CO_2 emissions and energy consumption from the sectoral approach. On the other hand, the current tables on the reference and the sectoral approach were developed following the IPCC Guidelines. In the latter case, the disaggregation into fuel types according to liquid, solid, gas, biomass and other was agreed by Parties in order to avoid increasing the number of tables in the CRF.

Experience of Parties:

46. Some Parties noted that

(a) For the sectoral approach, the usefulness of the current split into fuel groups for comparing IEFs (liquid, solid, gaseous, biomass and other) might be limited. Under the national approach, some Parties' inventories are not compiled according to the fuel groups listed in the CRF, and therefore individual fuels have to be classified into those fuel groups for CRF reporting. This could result in differences in classifying certain fuels by Parties which may affect the comparability of data, such as IEFs, across countries;

(b) In the current table for the reference approach the list of some fuel types is insufficiently disaggregated and does not offer the option of reporting "other";

(c) The level of comparison between the reference and the sectoral approach as currently described in the guidelines might not be useful and may require further clarification. For example, energy consumption between the reference and the national approach cannot be reconciled because the reference approach includes energy consumption from some sources that are netted out in the national approach and reported elsewhere in the inventory.

Experience of the secretariat:

47. The meaning of "sectoral approach" and "reference approach" is not always the same for all Parties, and therefore the comparison of the two could lead to different values and different interpretations under the review process. Experts who participated in the review process indicated the need for more precise guidance in assessing the results of the comparison between the reference and the national approach.

48. Parties do not always indicate whether fuel combustion estimates were calculated on the basis of fuel consumption data expressed in gross calorific value (GCV) instead of on the basis of net calorific value (NCV). This lack of clarity affects the comparability of IEFs.

49. Regarding fugitive emissions from oil and natural gas activities, experts involved in the review process noted that the current flexibility in the use of different units hampers an efficient review of the data from this subsector.

50. *Questions*:

- Should the sectoral approach table of the CRF (table 1.A(a)) allow for the reporting of data on the basis of individual fuel types in the various subsectors, rather than following the current breakdown into solid, liquid, gaseous, biomass and other? In addition, should general guidance on the classification of fuels into fuel categories (liquid, solid, gas, biomass and other) be developed?
- Should the reference approach table of the CRF (table 1.A(b)), which closely follows that of the IPCC Guidelines, be modified to provide for more disaggregated reporting of some liquid and gaseous fuel types and to allow for the reporting of "other" under liquid, solid and gaseous fuels?
- Should the current approach of comparing CO_2 estimates between the national and the reference approach (table 1.A(c) of the CRF) be modified, and if so, should more guidance be developed with the aim of obtaining more useful information for the review process?
- Should Parties in their CRFs, or the secretariat in the relevant tables of the synthesis and assessment, convert different units used under the oil and natural gas categories into a common unit?

7. Issues relating to bunker fuel emissions

Background:

51. The new reporting guidelines, including the CRF, require more information on bunker fuel emissions than the reporting tables of the IPCC Guidelines. A separate table was included in the CRF (table 1.C) solely for reporting on bunker fuel emissions. In addition, Parties are required to explain how the consumption of international marine and aviation bunker fuels was estimated and separated from domestic consumption.

52. The Subsidiary Body for Scientific and Technological Advice (SBSTA) requested the secretariat to provide information on the reporting of emissions based upon fuel sold to ships and aircraft engaged in international transport. However, information contained in this note is limited, as it is based only on the 2000 inventory submissions which have been processed and reviewed so far.

Experience of Parties:

53. Some Parties noted some inconsistencies in the presentation of the information in the CRF tables.

Experience of the secretariat:

54. Ninety per cent of the Parties which used the CRF for reporting inventories in 2000 and 2001 provided CO_2 emissions estimates for international bunkers, with around 85 per cent reporting aviation emissions, and around 70 per cent reporting marine emissions. Reporting of estimates for non-CO_2 gases was lower than for CO_2, (around 60-75 per cent for CH_4, N_2O and precursors).

55. Table 1.C of the CRF, which calls for, *inter alia*, the reporting of fuel consumption according to individual fuels used in aviation and marine bunkers, was used by only 19 Parties in 2000 and 23 Parties in 2001(approximately 80 per cent of the Parties that used the CRF (see table 3 of the main document (FCCC/SBSTA/2001/5))). The level of reporting of consumption data and emission estimates in table 1.C varied depending on the fuel type; most Parties reported consumption of gas/diesel and residual fuel oil under marine (65-70 per cent), and jet kerosene under aviation (74-78 per cent). However, for some fuel types listed in table 1.C of the CRF, such as coal and gasoline under marine, Parties either did not report any numerical data at all, or reported only very small amounts of consumption and emissions (less than 0.00 Gg CO_2).

56. With regard to the 2000 inventory submissions, only half the Parties that used the CRF provided information on the consumption of international marine and aviation bunker fuels in the documentation box of table 1.C of the CRF. However, this information did not always include an explanation as to how the consumption of international marine and aviation bunker fuels was estimated and separated from domestic consumption, as requested. For many Parties, the information provided in the documentation box was limited to a reference to the country's national statistics.

57. *Questions*:

- Should the current guidance on reporting bunker fuel emissions be further specified? For example, should the current list of fuel types provided in table 1.C be revised?

8. Issues relating to land-use change and forestry

Background:

58. The sectoral report for land-use change and forestry (LUCF) (table 5 of the CRF) requires CO_2 emissions and removals to be reported separately (except for 5.B Forest and grassland conversion). The Excel software application includes embedded formulae which calculate "net CO_2 emissions/removals" for each source category. This approach is different from that in the sectoral report of the IPCC Guidelines, where Parties should calculate only the "net CO_2" and place the estimate in either the "emissions" or "removals" column as appropriate, but not in both. However, for reporting LUCF estimates in table Summary 1.A the approach from the IPCC is followed.

59. The notes on the CRF annexed to the reporting guidelines indicate that the sectoral background data tables 5.A-5.D on LUCF follow the IPCC Guidelines and should be completed by those Parties using IPCC default methods. Parties which do not use sectoral background data tables 5.A-D should complete alternative formats, when they are available.

60. The current provisions in the CRF allow the reporting of CO_2 emissions and removals from soils under either the agriculture sector (under 4.D Agricultural soils) or the LUCF sector (5.D CO_2 emissions and removals from soils).[4]

Experience of Parties:

61. Some Parties noted that

(a) Parties choosing to report CO_2 estimates from soils under agriculture can do so only in the Summary tables;

(b) Summary table 1.A does not give a clear indication as to whether both emissions and removals of CO_2 from agricultural soils should be reported, or only net emissions or removals, as is the requirement for LUCF estimates in this table;

(c) The national total without LUCF may not represent the same set of activities across countries, since for Parties choosing to report CO_2 fluxes from agricultural soils under agriculture this estimate is included in the national total.

(d) The national totals without LUCF expressed in terms of CO_2 equivalent differ across tables in the CRF, depending on whether or not non-CO_2 gases from LUCF have been accounted for.

62. Some Parties provided separate submissions on alternative formats for sectoral background data tables on LUCF.[5] Suggested alternative formats were designed by Parties to allow, *inter alia*, for more suitable reporting, taking into account national circumstances, and to allow for the separate reporting of emissions and removals from 5.B Forest and grassland conversion. Consideration of these formats and their interrelation with the current CRF could improve the quality and completeness of the reporting, and at the same time facilitate the review of the information from this sector.

Experience of the secretariat:

63. The level of reporting sectoral background data tables 5.A–5.D in both the 2000 and 2001 submissions was low (see table 2); a few Parties which did not use these tables provided alternative data tables in their NIR. However, national data tables in an NIR do not allow for easy comparison of data across countries. This general lack of reporting, in addition to the lack of reporting of data from this sector in standardized formats, significantly affected the comparability of data during the technical review of inventories and, therefore, the effectiveness of the review of that sector.

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[4] Without prejudging the usefulness of comments made by Parties in relation to the accounting of CO_2 from soils under either the agriculture or the LUCF sector, the secretariat would like to clarify that the current provisions in the CRF resulted from negotiations by Parties during the development of the CRF.

[5] Submissions on alternative formats for sectoral background data tables 5.A-D on LUCF of the CRF are reproduced in document FCCC/SBSTA/2001/MISC.4.

Table 2. Provision of common reporting format tables in the land-use change and forestry sector

	Submission year	2000	2001
	Inventory year	1998	1999
	Total number of CRFs	23[a]	29[a]
Number of Parties providing:	Sectoral report on LUCF (table 5)	22	26
	All SBDTs[b] (5.A-5.D)	1	3
	5.A	9	14
	5.B	4	7
	5.C	3	5
	5.D	5	9

Notes:
The values given in this table reflect only the number of those Parties using the CRF that have actually used a given LUCF table by providing numerical information; cases in which only standard indicators were used to fill in a table were not taken into account in the above values.

[a] The total number of CRF submissions in 2000 and 2001 received by 31 July 2001 was 24 and 30, respectively. However, one Party submitted only tables Summary 1.A and 2 of the CRF. This submission is not taken into account in this table.

[b] SBDT: sectoral background data table.

64. Emissions and removals were often not reported separately in table 5 of the CRF; in addition, the rules for using the signs (+/-), which were established following the IPCC Guidelines, were sometimes not followed by Parties.

65. *Questions:*

Should the current reporting tables on LUCF be modified? If so,

- Should any modification take place in the context of any revision to the guidelines at the seventh or eighth session of the Conference of the Parties (COP), or should such a process be deferred until the IPCC good practice guidance on LUCF is completed and adopted by the COP?
- Should the alternative formats for sectoral background data tables on LUCF suggested by Parties be used as a basis for modifying the current ones in the CRF?

Should general rules for the accounting of LUCF in national totals be established? If so,

- For the accounting of LUCF in the national totals, should the exclusion or inclusion of LUCF always refer to only the gas CO_2 or to the LUCF sector as a whole (including the non-CO_2 gases)?
- For the purpose of calculating national totals (without LUCF), should the CO_2 from agricultural soils, if reported under agriculture, be excluded? Or, conversely, should the national total without LUCF always include the net CO_2 from agricultural soils, independently of the sector to which it has been allocated?
- Do the rules for using the signs (+/-) for emissions and removals in the LUCF sector need to be modified?

Should reporting of CO_2 fluxes from agricultural soils be allowed only in one sector? If it is allowed in both sectors, should CRF tables of the agriculture sector also provide for full reporting of CO_2 from agricultural soils (for example, reporting of activity data and calculation of IEFs)?

D. Issues relating to the IPCC good practice guidance

Background:

66. The reporting guidelines make provision for the application of the IPCC good practice guidance. At its twelfth session the SBSTA considered the *IPCC report on Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories* and concluded that the good practice guidance should be applied by Parties to the extent possible for inventories due in 2001 and 2002, and should be used for inventories due in 2003 and beyond.[6] The SBSTA also requested the secretariat to consider in its report on the use of the reporting guidelines whether any modifications to these guidelines are needed to reflect the IPCC good practice guidance.

Experience of Parties:

67. Some Parties noted that the CRF is not fully compatible with the IPCC good practice guidance and made specific proposals for reflecting some elements in the CRF, both at the level of cross-cutting issues and at the sectoral level. Some Parties proposed specifically

(a) To revise Summary 3 "Summary report for methods and emission factors used" to provide more detailed information on the choice of method selected for each sector and gas; consideration should be given to how to provide more useful and detailed information in this table following the approach for methodological choice (and decision trees);

(b) To revise table 7 "Overview table for national GHG inventories" in order to record indicators of quality and uncertainty better, or to replace this table with two new tables:

(i) a table to cover uncertainty estimates (e.g. reporting on both the tier applied and the percentage value for uncertainty as a percentage of category emissions below and above the inventory values, or other uncertainty indicators described in the IPCC good practice guidance);

(ii) a table to report on quality assurance/quality control (QA/QC) (e.g. to indicate which tier for QA/QC has been used for each source category and gas).

Experience of the secretariat:

68. Given that, for the 2000 inventory submissions, most Parties have not reported on the application of the IPCC good practice guidance, as explained in paragraph 66 above, the secretariat is currently not in a position to provide information on experience with the good practice guidance.

69. To facilitate analysis of the inventory data during the review process, the secretariat has identified, for each individual Party that has submitted a CRF in its 2000 submission, those source categories that are *key sources* in terms of their absolute level of emissions, applying the tier 1 level assessment as described in the IPCC good practice guidance.[7] For the 2001

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[6] Annex I Parties with economies in transition may phase in the IPCC good practice guidance two years later than other Annex I Parties.

[7] Chapter 7 "Methodological choice and recalculation" of the IPCC Good Practice Guidance and Uncertainty Management.

submissions, *key sources* were also calculated using the trend assessment. With regard to categories, this identification has been performed at the level of detail recommended in that guidance.

70. However, once Parties start implementing the IPCC good practice guidance, including the identification of key sources, they might use different levels of category disaggregation, which may lead to the identification of other key sources than those identified by the secretariat. It can be expected that a determination of key sources will contribute to improving the quality of the data and self-assessment by Parties. On the other hand, the use of key sources determined on the basis of different aggregation levels might affect the development of a technical review in a consistent manner across Parties.

71. *Questions*:

Should the reporting guidelines, including the CRF, be revised in order to reflect the reporting of the application of the IPCC good practice guidance? If so,

- What elements of the IPCC good practice guidance should be incorporated into the current guidelines and become an explicit reporting requirement (for instance, methodological choice, determination of key sources, uncertainty, recalculation and splicing of time-series, quality assurance/quality control (QA/QC))?
- Should additional tables be developed for the CRF to ensure standardized reporting on the use of the IPCC good practice guidance? What minimum reporting requirements should such tables include (e.g. tier 1 key source determination, recalculation tables that calculate changes in the trend due to recalculation, tier 1 uncertainty estimates)?
- Should additional guidance be developed to define what elements in the application of the IPCC good practice guidance should be reported in the NIR?
- Should the current categories as used in the CRF (following IPCC Guidelines categories) be re-examined in the light of slight changes in category disaggregation used in the IPCC good practice guidance (e.g. for categories relevant for HFCs, PFCs, SF_6)?

Key sources: How should differences in the key sources identified by Parties and key sources identified by the secretariat be addressed during the review process?

E. Technical and software issues pertaining to the common reporting format

Background:

72. Following the adoption of the new reporting guidelines on GHG inventories (6/CP.5), the secretariat developed a software application for submitting GHG inventories in the CRF. The CRF software application consists of a file of the spreadsheet application Microsoft Excel 97 in which all the tables of the CRF are contained in worksheets. The CRF software application has a number of inbuilt links and formulae, CRF-specific menus, and various macros to assist the user to enter data. Most Parties have used the CRF application for both their 2000 and 2001 GHG inventory submissions.

Experience of Parties:

73. Several Parties have addressed a number of technical issues in their submissions, such as units used, rounding of figures, general consistency between data sheets, functioning of formulae with respect to indicators, width of columns and alignment of information/tables, changes in numeration and headings of tables, and other issues relating to the use of MS Excel, which are not addressed in detail here.

74. In general most Parties have found the software to be suitable for the presentation of the data requested in the CRF. However, Parties have mentioned issues specifically relating to the CRF software application in their submissions, and have made a number of suggestions for its improvement. These suggestions might be considered in more detail during the expert meeting mentioned in paragraph 10 of the main document to this addendum. The following points were noted by many Parties:

(a) The large burden associated with entering most of the information manually into the CRF;

(b) The fact that CRF files take up much storage space and are time-consuming to handle (opening, saving, navigating, printing, etc.);

(c) Throughout the CRF, the lack of automation in entering standard indicators in related cells;

(d) The occurrence of error messages and locking up of the software;

(e) The fact that only one person at a time can work on a file, for example, national experts responsible for different sectors cannot work on the same file at any one time.

Experience of the secretariat:

75. The provision of inventory data in an electronic format over the last few years has greatly facilitated the secretariat's ability to process and maintain information, and it has also increased the amount of information the secretariat is able to provide to Parties in support of various activities, in particular the technical review of inventories. Specifically, the provision of data in the standardized electronic format of the CRF application has allowed the implementation of a highly automated processing procedure for Parties' submissions, and has increased data integrity within the database. The availability of comparable data has allowed the development of software tools for analysis.

76. The secretariat has, however, encountered some difficulties in the processing and maintenance of data reported by Parties in the CRF application. Due to the flexible nature of the spreadsheet application, and to some extent the CRF, Parties have in some instances submitted information with modifications to the standard format of the software application, such as changes to names of worksheets and categories, manual insertion of rows/columns or footnotes, addition of non-standard tables, and replacement/removal of standard tables. Although the present software to import data developed by the secretariat identifies such changes prior to importing, and necessary adjustments are made, this limits to some extent the automation of the data processing.

77. Major problems in the importation of the data arise, for example, if Parties report according to the CRF but do not use the CRF software application. It is important to note that reporting in the standardized formats is crucial for the processing of the data. Problems of data integrity also arise when users perform manual interventions in the embedded formulae of the CRF; this often results in inconsistent values/totals being shown in different tables of the CRF. In some cases such inconsistencies are due to reporting "other" categories in sectoral reports, but not in the corresponding sectoral background data table, which leads to the calculation of different totals. It is a time-consuming task for reviewers to work out the source of inconsistent values being recorded in the CRF.

78. In the development and testing of the importation software, a number of instances of software problems/limitations have arisen due to the nature of the spreadsheet application. The secretariat has also noted that some Parties have had problems with reporting in a spreadsheet format. To avoid such problems, it may be necessary to consider different reporting software in the future.

79. *Questions:*

Should an entirely different software for reporting the CRF be developed or should the spreadsheet format simply be revised? For such modifications or development, different time-scales might need to be considered. Specifically,

- Should some/all of the elements within the CRF that are redundant (i.e. entire tables such as table Summary 1.B, and some values, for instance in the summary and trend tables) be removed from the CRF? If duplicate information is not removed, should the software prevent the reporting of inconsistencies with regard to similar values in different parts of the CRF?
- Should a modified spreadsheet format be developed that would contain separate files for the sectoral and summary sections of the CRF?
- Should a new software be developed on the basis of a database platform rather than a spreadsheet format? Or should simple data files be requested (i.e. comma delimited files)?
- Should the software encompass different facilities for data entry (input) and CRF table production (output)?
- Should the software have a checking facility to assist users in verifying the correctness/completeness of data entered before submission?

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